TRAINING MATERIALS ON IMPLEMENTING NATIONAL ADAPTATION PROGRAMMES OF ACTION (NAPAs)

UNFCCC LEAST DEVELOPED COUNTRIES EXPERT GROUP (LEG)

UNFCCC LDC Expert Group (LEG)
Training materials on implementation of NAPAs

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OVERVIEW

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Objectives

- To provide technical support to LDC teams in their decisions regarding the preferred approach for implementing NAPAs
- To build capacity for managing the process involved in the preparation and submission of project documents (PIF, PPG and FSP document) to the GEF under the LDCF
  - to provide guidance on the development of NAPA implementation strategies
  - to address the main challenges LDCs have experienced in implementing NAPAs
  - to share experience and gather lessons learned

Approach

- Targeted to assist country teams in steering the process towards full NAPA implementation
- Focused on key strategic decisions and issues faced during the transition to implementation
- Focused on GEF and GEF-related processes
- Organized to provide time for “semi-formal” presentations to be followed by discussions on experiences, as well as some practical sessions
- Case studies and practical work sessions to illustrate specific points based on real examples

Day 1 – Setting the Stage

- Setting the stage - overview of LDC work programme, progress updates and synthesis of NAPAs
- Introduction to the Step-by-Step Guide for implementing NAPAs
- Introduction to the GEF and the LDCF, modalities of access and project cycle and other adaptation funding initiatives
- GEF agencies and their comparative advantage
- Designing an implementation strategy (rationale, options, and key decisions)

Practical session 1:

Deciding on the key elements of an implementation strategy

Day 2 – Preparing for implementation

- Formulating funding proposals - key decisions in moving from NAPA to concrete funding packages, early decisions in project design, guiding principles in identifying baseline activities and additional adaptation needs
- Designing a PIF: key decisions and elements in PIF design, costing adaptation, collaboration with agencies, and current PIF format
- Country case study on preparing and implementing NAPA

Thematic discussion 1:

key adaptation options in the agriculture and rural development sector

Practical session 2:

Packaging adaptation goals into PIF concept frameworks

Day 3 – Designing projects

- The project preparation phase: key issues and challenges during the PPG
- Current PPG format and guidance, sample PPG workplan
- Moving towards final project document: overview of key features of GEF project documents
- An example PPG (e.g. Mali)

Thematic discussion 2:

key adaptation options in coastal areas

Practical session 3:

Mapping adaptation goals to results and resources frameworks

Day 4 – Broadening the scope

- Scaling up adaptation efforts
- Other elements of the LDC work programme
- Synergies between common NAPA themes and MEAs
- Country Team work: implementation strategy and next steps
- GEF agencies specific presentations on adaptation
- Closing and Way forward

Thematic discussion:

Key adaptation options related to climate monitoring

Field Visit

- A place to be selected by the hosts
- The place should be
  - An area impacted by climate change
  - A NAPA / adaptation project site
  - One of the areas / commonalities identified for a NAPA project
- Participants should engage with communities, sense the problems and challenges brought by climate change, and hence propose an intervention.

SETTING THE STAGE

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

LDC Work Programme

i. Strengthening existing and, where needed, establishing, national climate change secretariats and/or focal points to enable the effective implementation of the Convention and the Kyoto Protocol, in the least developed country Parties;

ii. Providing training, on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the least developed countries to participate effectively in the climate change process;

iii. Supporting preparation and implementation of national adaptation programmes of action (NAPAs);

iv. Promotion of public awareness programmes to ensure the dissemination of information on climate change issues;;

v. Development and transfer of technology, particularly adaptation technology (in accordance with decision 4/CP.7).

vi. Strengthening of the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support implementation of national adaptation programmes of action.

The LDC Expert Group (LEG)

Established by decision 29/CP.7 to;

- To provide technical guidance and advice on the preparation and implementation strategy of NAPAs, including the identification of possible sources of data and its subsequent application and interpretation, upon request by LDC Parties;
- To develop a work programme that includes the implementation of NAPAs taking into account the Nairobi work programme;
- To serve in an advisory capacity for the preparation and implementation strategy of NAPAs through, inter alia, workshops, upon request by LDC Parties;
- To advise on capacity-building needs for the preparation and implementation of NAPAs and to provide recommendations, as appropriate, taking into account the Capacity Development Initiative of the GEF and other relevant capacity-building initiatives;
- To facilitate the exchange of information and promote regional synergies, and synergies with other multilateral environment conventions, in the preparation and implementation strategy of NAPAs;
- To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development

Update on NAPAs

- 43 NAPAs submitted to the UNFCCC secretariat
- Remaining 5 are expected to be completed by 2010.
- NAPAs identify a total of 450 urgent and immediate adaptation needs with an average of 11 priority projects per country.
- Total funding required to implement these projects is USD 1.66 billion.
- To date, 35 PIFs have been submitted to the GEF. These PIFs address 75 of the 450 identified projects.
- Overall budget of the 35 submitted PIFs is USD 283 million
- Current level of funds in the LDCF is USD 176m

Key issues in NAPA development and implementation

- Lack of human capacity;
- Long delays;
- Changing procedures.

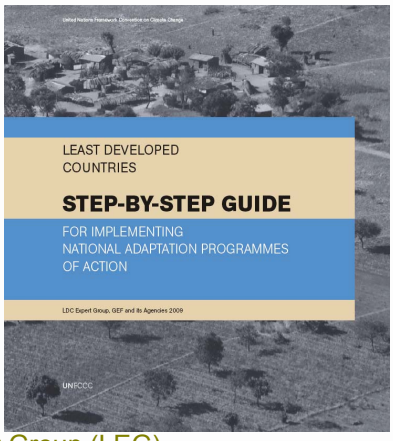
Other specific issues in relation to the GEF project cycle for LDCF projects include:

- Choosing or changing an implementing agency;
- Lack of clarity on number of projects eligible for submission;
- Eligibility of different sources of funds to meet co-financing requirements;
- Nature and scope of additional assessment work required implementation;
- The degree of access to other funds managed by the GEF (in addition to the LDCF) to support adaptation and NAPA implementation;
- Coordination of budgeting and implementation of projects.

The training workshops

- Following request from Parties, the LEG is conducting training on the design of NAPA implementation strategies and preparation of projects.
- The training is conducted through regional workshops organized in three languages, English, French and Portuguese.
- In total there will be five workshops: for the African Anglophone LDCs, Francophone LDCs, Lusophone LDCs, Asian LDCs and South Pacific LDCs.

THE STEP BY STEP GUIDE



UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

What is the Step-by-Step Guide?

- One of the challenges faced by project developers is how to transform urgent and immediate adaptation needs into sound project proposals for submission to the GEF and other agencies.
- This transition from NAPA preparation to project implementation requires a concerted effort to build the necessary skills in LDCs to ensure successful implementation of adaptation activities.
- The LEG then developed the Step-by-Step Guide for Implementation of NAPAs
  - to assist project developers in LDCs and other stakeholders to prepare financing proposals for NAPAs that will meet the standards of the LDCF and those of other financing windows.
- The guide targets LDC NAPA teams, including officers in government agencies and the non-governmental community, as they plan the implementation of NAPAs, and GEF agency officers working on NAPA projects at the country level

Key features of the Step-by-Step Guide

- The Guide is divided into 3 main sessions
  - Introduction;
  - Implementation Planning; and
  - Quick Guide to the LDCF.
- It contains 6 fundamental steps on NAPA implementation
  - Step **1**: Preparation of Implementation
  - Step **2**: Designing an Implementation Strategy for the NAPA
  - Step **3A**: Option to Implement One Project – Project-Based Approach
  - Step **3B**: Option to Design the Implementation of the Whole NAPA A Programmatic Approach
  - Step **4**: PIF Processing – PIF Approval Process
  - Step **5**: Project Preparation Grant (PPG)
  - Step **6**: GEF CEO Endorsement
- The guide further contains helpful tools for designing projects, a variety of adaptation options and project examples.

When and how to use the Step-by-Step Guide?

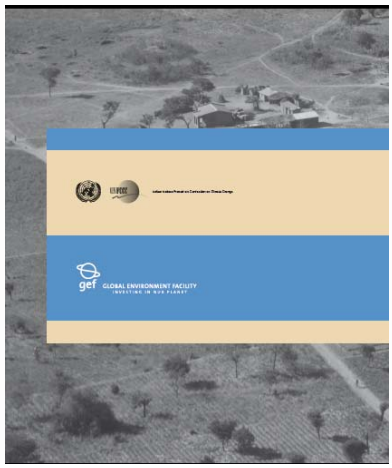
- When deciding on an approach to implement the NAPA
- If revisions to the NAPA are found necessary or if NAPA priorities have changed
- Whenever attempting to design an adaptation project from the NAPAs
- The Guide can also be an important tool in designing a larger scope of climate change projects

Where to find the Step-by-Step Guide?

- NAPA implementation training workshops
- By writing to the UNFCCC secretariat

  UNFCCC Secretariat
  Martin-Luther-King Strasse 8
  D-53175
  Bonn, Germany
- LDC Portal

  http://www.unfccc.int/ldc
- LEG outreach events



INTRODUCTION TO THE GEF AND LDCF

Global Environment Facility (GEF)

Training materials on implementation of NAPAs

THE LEAST DEVELOPED COUNTRIES FUND (LDCF)

- **Background:**
  - Established by the UNFCCC COP 7 in Marrakech, 2001 to support implementation of the LDC Work Programme
  - Initial guidance given to GEF on funding for the preparation of NAPAs as a priority
  - NAPA preparation operationalized by GEF in April 2002
  - Additional COP guidance given to GEF on implementation of NAPAs at COP 8 (December 2005)
  - NAPA implementation operationalized by GEF in May 2006.
  - Additional COP guidance given to GEF to fund additional elements of the LDC Work Programme in December 2008

THE LEAST DEVELOPED COUNTRIES FUND (LDCF)

- **Financial situation:**
  - USD 176 million pledged by 19 donors (October 2009
  - Each eligible country able to access up to USD 5 million, based on the principle of equitable access as of June 2009.
  - Prior to June 2009, each country to access up to USD 3.6 million.

GEF's ROLE AS MANAGER OF THE LDCF

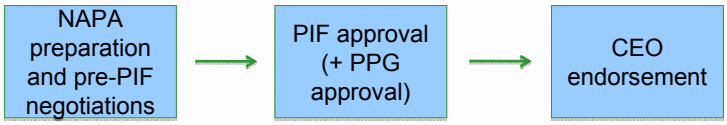
Key role of the GEF in NAPA process is to:

- Provide financial oversight for the LDCF and its pipeline.
- Facilitate fund-raising from donors
- Organize and facilitate LDCF/SCCF Council meetings
- Report to UNFCCC and CMP
- Screen projects to assure consistency with agreed criteria (LDCF programming paper - GEF/C.28/18), COP guidance and NAPA priorities.

The role of the GEF is NOT to:

- Overrule NAPA priorities as stated in the NAPAs.
- Micro-managing project activities, budget or implementation arrangements.
- Deliberately slow or block access to funding by complicating approval. procedures or setting too demanding technical standards.
- Manage country-agency relations.

LDCF project cycle - Overview



- **PIF** : A brief concept description, including indicative activities, budget and implementation arrangements. PURPOSE: To determine general eligibility for LDCF funding.
- **PPG**: A request for financial support for development of a more comprehensive project proposal (CEO endorsement).
- **CEO endorsement**: A comprehensive project description, including detailed project argumentation, description of activities, budget, implementation arrangements, etc. PURPOSE: To demonstrate a fully developed project ready for implementation.

LDCF project cycle

Pre PIF activities (GEF not involved)

- Project idea (based in NAPA priorities)
- Identifying implementing partner (among the 10 GEF Agencies)
- Develop project concept into PIF/PPG submission

LDCF project cycle - PIF submission – fundamental review criteria

- **Basic project idea (additional cost argument):**
  - What is the likely baseline development for the targeted sector without LDCF investment?
  - What are the CC vulnerabilities?
  - What are the specific additional activities to be implemented to make baseline development (more) 'climate resilient'?
- **Implementation set up**
  - Who will implement project and why (including comparative advantage of implementing agency and executing agency)?
  - Coordination with existing projects and programmes to avoid duplication of activities
- **Indicative budget and 'co-financing'**
- **Fit with NAPA priorities (very important)**

LDCF project cycle – PIF submission and Processing

→ PIFs are reviewed by Secretariat on a rolling basis (max 10 working days)

→ Generally, if the above 4 issues are described in a clear and technically sound way, the PIF will be cleared for work program inclusion and subsequently web posted for Council consideration for 4 weeks. Once approved, funds are reserved for the project (but not paid out), pending the submission of a fully developed project within 18 months (CEO endorsement).

→ If the above 4 issues are **not** sufficiently described, or if the secretariat find technical or budgetary issues in the PIF, a review sheet will go back to the agency with a clear description of the issues blocking the proposal from being cleared.

→ PIF can be resubmitted at any time (another 10 working days for review)

LDCF project cycle – PPG submission

- As soon as the PIF is cleared by the CEO (even if not yet approved by Council) the project is eligible for a Project Preparation Grant (PPG)
- Usually PIF and PPG are submitted together to facilitate speedy processing
- The PPG proposal must clearly describe a process toward developing the full project proposal (CEO endorsement), including a budget, and schedule of activities to be implemented.
- PPG's are approved directly by the CEO (no web posting)

LDCF project cycle – CEO Endorsement – Key review criteria

- **Detailed description of the 4 issues mentioned above** – at this point project components, specific (additional) project activities (based on baseline/adaptation alternative scenario argumentation), budget, and implementation set-up, should be fully established.
- **M&E framework** – including clear 'impact indicators' to measure project impact (as opposed to solely 'process indicators')
- **Letters of endorsement for co-financing**

→ LDCF projects are endorsed directly by CEO, but web posted for Council information for 4 weeks. Once Endorsed, funds are released to Implementing agency to start implementation.

GEF AGENCIES - COMPARATIVE ADVANTAGES

- Currently 10 GEF agencies
  - Asian Development Bank (ADB)
  - African Development Bank (AfDB)
  - European Bank for Reconstruction and Development (EBRD)
  - Food and Agriculture Organization (FAO)
  - Inter-American Development Bank (IADB)
  - International Fund for Agricultural Development (IFAD)
  - United Nations Development Programme (UNDP)
  - United Nations Environment Programme (UNEP)
  - United Nations Industrial Development Organization (UNIDO)
  - The World Bank (WB).

THANK YOU!

Fact Sheet

GEF Agencies and their comparative advantages in relation to NAPAs

(a) **Asian Development Bank (ADB)**'s comparative advantage for LDCs includes investment projects at the country and multi-country level in Asia as well as the ability to incorporate capacity building and technical assistance into its projects. ADB has strong experience in the fields of energy efficiency, renewable energy, adaptation to climate change and natural resources management, including water and sustainable land management.

(b) **African Development Bank (AfDB)**'s comparative advantage for LDCs lies in its capacity as a regional development bank. The AfDB is, however, in the initial stages of tackling global environmental issues. Its environmental policy has only recently been approved and is in the process of being integrated into operations. The AfDB will focus on establishing a track record for environmental projects related to the GEF focal areas of Climate Change (adaptation, renewable energy and energy efficiency), Land Degradation (deforestation, desertification) and International Waters (water management and fisheries).

(c) **European Bank for Reconstruction and Development (EBRD)**'s comparative advantage for LDCs lies in its experience and track record in market creation and transformation, and ensuring sustainability through private sector (including small- and medium-sized enterprises) and municipal environmental infrastructure projects at the country and regional level in the countries of eastern and central Europe and central Asia, especially in the fields of energy efficiency, mainstreaming of biodiversity and water management.

(d) **Food and Agriculture Organization (FAO)**'s comparative advantage for LDCs is its technical capacity and experience in fisheries, forestry, agriculture, and natural resources management. The FAO has strong experience in sustainable use of agricultural biodiversity, bioenergy, biosafety, sustainable development in production landscapes, and integrated pest and pesticides management. FAO's six priority action areas for climate change adaptation in agriculture, forestry and fisheries are: data and knowledge for impact assessment and adaptation; governance for climate change adaptation; livelihood resilience to climate change; conservation and sustainable management of biodiversity; innovative technologies; improved disaster risk management.

Fact Sheet

(e) **Inter-American Development Bank (IADB)**'s comparative advantage for LDCs includes investment projects at the country and regional level in Latin America and the Caribbean. IDB finances operations related to the following GEF focal areas: Biodiversity (protected areas, marine resources, forestry, biotechnology), Climate Change (including biofuels), International Waters (watershed management), Land Degradation (erosion control), and POPs (pest management).

(f) **International Fund for Agricultural Development (IFAD)**'s comparative advantage for LDCs lies in its work related to land degradation, rural sustainable development, integrated land management, and its role in the implementation of the UN Convention to Combat Desertification. IFAD has been working intensively in marginal lands, degraded ecosystems and in post-conflict situations.

(g) **United Nations Development Programme (UNDP)**'s comparative advantage for LDCs lies in its global network of country offices, its experience in integrated policy development, human resources development, institutional strengthening, and non-governmental and community participation. UNDP assists countries in promoting, designing and implementing activities consistent with both the GEF mandate and national sustainable development plans. UNDP also has extensive inter-country programming experience. Regarding adaptation activities the UNDP website says: ''UNDP assists countries to develop overarching national adaptation programmes where climate change risks are routinely considered as part of national planning and fiscal policies formulation. Such activities ensure that information about climate-related risks, vulnerability, and options for adaptation are incorporated into planning and decision-making in climate-sensitive sectors (e.g. agriculture, water, health, disaster risk management and coastal development), as well as into existing development plans and poverty reduction efforts (e.g. Poverty Reduction Strategies Papers - PRSPs)''.

(h) **United Nations Environment Programme (UNEP)**'s comparative advantage for LDCs is related to its being the only United Nations organization with a mandate derived from the General Assembly to coordinate the work of the United Nations in the area of environment and whose core business is the environment. UNEP's comparative strength is in providing the GEF with a range of relevant experience, proof of concept, testing of ideas, and the best available science and knowledge upon which it can base its investments. It also serves as the Secretariat to three of the MEAs (multilateral environment agreements), for which GEF is the/a financial mechanism. UNEP's comparative advantage also includes its ability to serve as a broker in multi-stakeholder consultations.

Regarding adaptation activities, the UNEP website says: "UNEP is helping developing countries to reduce vulnerabilities and build resilience to the impacts of climate change.

Fact Sheet

UNEP will build and strengthen national institutional capacities for vulnerability assessment and adaptation planning, and support national efforts to integrate climate change adaptation measures into development planning and ecosystem management practices. The work will be guided by and contribute to the Nairobi Work Programme on Impacts, Vulnerability and Adaptation. UNEP will also work to promote sustainable land use management and reduced emissions from deforestation and degradation, bridging adaptation and mitigation''.

(i) **United Nations Industrial Development Organization (UNIDO)**'s comparative advantage for LDCs is that it can involve the industrial sector in GEF projects in the following areas: industrial energy efficiency, renewable energy services, water management, chemicals management (including POP and ODS), and biotechnology. UNIDO also has extensive knowledge of small and medium enterprises (SMEs) in developing and transition economy countries.

(j) **The World Bank's** comparative advantage for LDCs is as a leading international financial institution at the global scale in a number of sectors, similar to the comparative advantage of the regional development banks. The World Bank has strong experience in investment lending focusing on institution building, infrastructure development and policy reform across all the focal areas of the GEF.

UPDATING AND REVISING NAPA

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

The need to revise NAPAs

- The need to revise the NAPA could arise from:
  - Changes in climate and climate risks, and hence vulnerabilities
  - Emergence of new information, scientific data or knowledge that changes the order of priorities
  - Climate related disasters that highlight a different urgent adaptation need
  - Projects can only be funded through the LDCF if they appear as a ranked priority in the NAPA
- NAPA project profiles can also be revised to accommodate revised cost estimates

How to revise a NAPA

As detailed in the Step-by-Step Guide, a NAPA can be revised as follows:

1: Establish rationale	2: Undertake revisions	3: Endorse and submit
Identify the **need** for revision and the **type** of revision needed	revise risks and vulnerability assessments, rank adaptation options and priorities, update project profiles	Ensure the revised NAPA is endorsed and formally submitted to the UNFCCC

Other considerations

- Revisions limited to project costs can be undertaken during project development.
- More comprehensive revisions to the NAPA can help accommodate for programmatic approaches to implementation
- Revisions can also be necessary if all NAPA priorities have been addressed
- There may be a cost in revising the NAPA, depending on national requirements for endorsement and consultation, and depending on the extent of the revisions needed.
- Costs for revising the NAPA could be integrated in a current project development phase (vulnerability studies) or project implementation (institutional reforms)

DESIGNING AN IMPLEMENTATION STRATEGY

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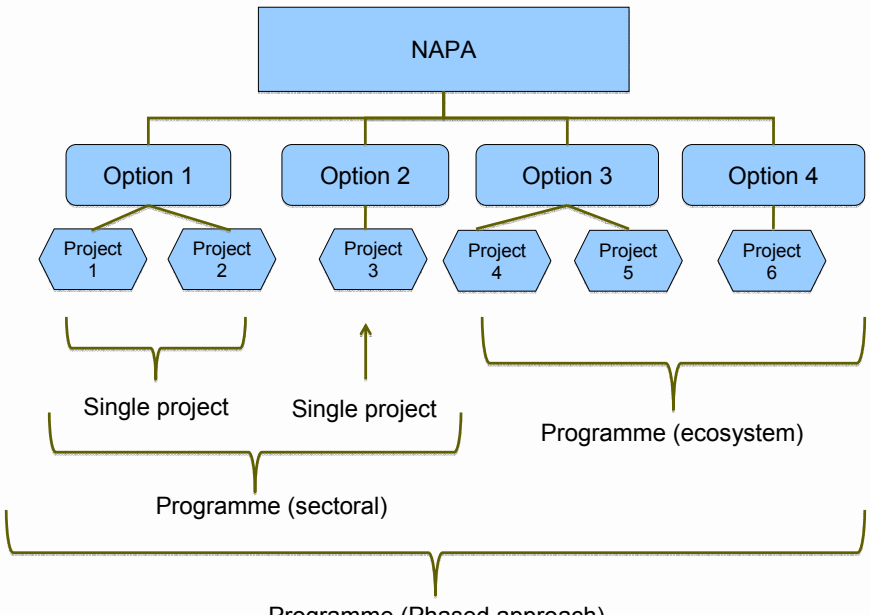
The need for an implementation strategy

- Expresses the **preferred approach to NAPA implementation**
  - Project vs programme
  - Approaches to multiple sources of funding
- **Setting priorities**
  - Selecting among NAPA priorities
  - Costs, expected outcomes
- Developing **partnerships and coordination**
  - Defining and clarifying roles and responsibilities
  - Coordinating with other baseline activities
- Facilitate the **process**
  - Develop clear internal and external processes
  - Facilitate coordination and continuity

Options for implementing NAPAs

- Single project
  - Advantages: quicker shift to implementation, early demonstration of progress, pilot approaches
  - Disadvantages: long-term uncertainty, repetitive process, higher transaction costs
- Programmatic approaches
  - Advantages: NAPA continuum, comprehensive results
  - Disadvantages: partial funding, more complex processes
- Single Agency
  - Single set of procedures, clear lines of accountability; easier for single projects?
- Partnerships
  - Stronger support, higher co-financing?



UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Issues in defining the strategy

- Project vs. adaptation activity or adaptation option
- Scale
  - Small-scale/Local/Community Level
  - Activities in Coastal Areas
  - Urban Areas
  - Sub-national Level Projects & Activities
  - Integrated River Basin Management
  - National Level Projects & Programmes including Sector-wide approaches
  - Regional - Multinational Project Activities & Programmes
  - Global Level Activities & Projects
- Need for NAPA update?

Key decisions – Single Project approach

- National Implementation Institution
- Understanding baseline activities and costing the project
- Selecting funding sources
- Selecting an Implementation Agency
- Formulating the funding proposal

Key Decisions – Programme Approach

- National Implementation Team or coordinating and supervisory mechanisms
- Prioritizing implementation phases/components
- Selecting implementing partners (national)
- Understanding baseline activities and costing
- Selecting funding sources (and attributing to components)
- Selecting Implementing Agency(ies) (international)
- Formulating funding proposal

Key decisions – institutional mechanisms

- **Continuity**
  - Single project approach: integrate NAPA sectoral experts in project development team?
  - Programme approach: NAPA development team becomes NAPA implementation team?
- **Capacity**
  - Single project approach: project development and management capacities vary across institutions
  - Programme approach: harmonize capacities and tools for project development and management?

Key decisions - institutional mechanisms

- **Costs**
  - Single project approach: each project to have its own steering committee and management units?
  - Programme approach: how to maintain a single oversight mechanism?
- **Coordination**
  - Single project: how to coordinate multiple projects?
  - Programme approach: how to link different segments of NAPA together?

GUIDE TO THE FIRST PRACTICAL SESSION

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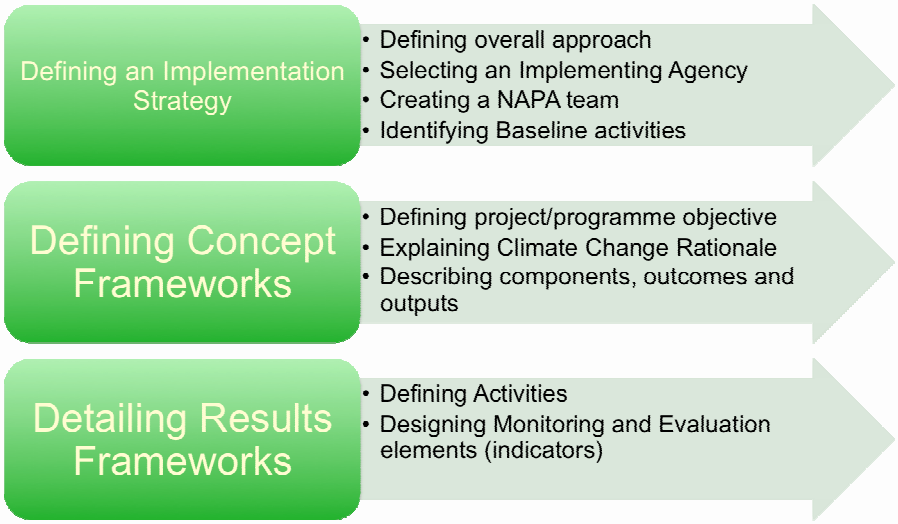
Training materials on implementation of NAPAs

Overview of practical sessions

- Groups will be randomly assigned, to last for the entire duration of the workshop
- Each group will be given a NAPA case study
- Case study material:
  - A summary of key vulnerabilities as contained in the NAPA
  - A list of NAPA priority projects with costs
  - A graph depicting the NAPA as a flowchart
  - Two graphs illustrating potential baseline development programming (PRSP or equivalent, UNDAF or equivalent)
- Each of the practical sessions is designed to take you a step further towards the design of a full project
- Decisions you make during the first session will have an impact on your choices for the next sessions

Overview of practical sessions



Objectives of session 1

- Overall objective: to make the key decisions involved in transitioning to implementation
  - To define an implementation strategy (programme, project)
  - To select an implementation agency (comparative advantage)
  - To define the NAPA implementation team
  - To identify baseline activities

Guidelines

- Select priorities to implement among those included in the materials
- Refer to the Step-by-Step Guide and the day's presentations for more information on programme vs. project approaches
- Refer to the Fact Sheet on GEF Agencies for the selection of Implementing Agency
- Information on Baseline activities can be found in the maps of PRSPs and other programmes. Where possible indicate the cost.
- Select only baseline activities that are of direct relevance to your project or programme

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Working Session 1 – Defining an implementation strategy

Template

Group # Country Case Study

1. Define the selected implementation strategy for the NAPA and explain your rationale.

a) Select an approach (Project or Programme)

⇒ Project Approach☐

Select priority project(s) from the NAPA

__ _____
__ _____
__ _____
__ _____

⇒ Programme Approach

Type of programme (select one among the choices below)?

☐ Sectoral Specify: ___ _____

☐ Geographic Specify: ___ _____

☐ Ecosystem Specify: ___ _____

☐ Phased Specify: ___ _____

b) Explain your rationale

2. Describe your selected implementation arrangements/team.

3. Select an Implementing Agency (or Implementing Agencies) and explain your rationale.

Primary Agency
Unknown

Secondary Agency
None

Rationale:

4. Identify baseline activities and, where possible, their costs

5. Please add any other comments or questions

FORMULATING FUNDING PROPOSALS

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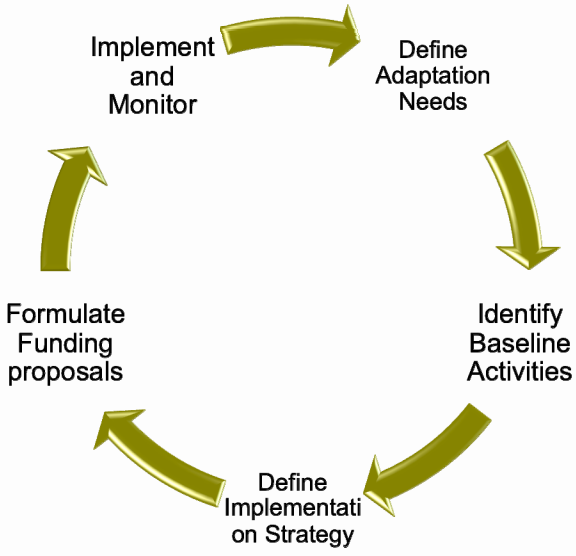
Summary of process

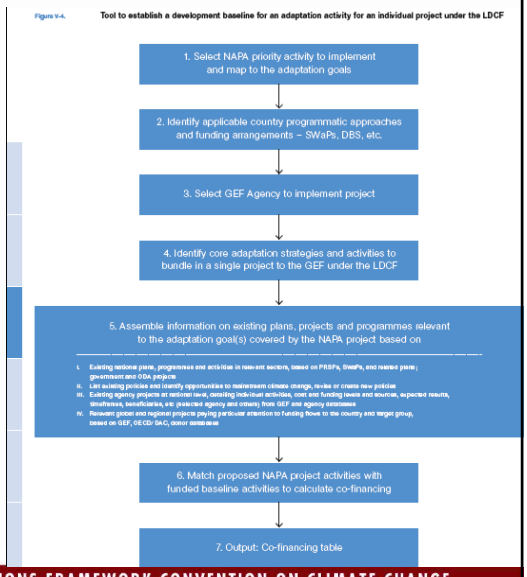


Developing Funding Proposals – Basic Requirements

- Justification
  - Project: climate change rationale for activities
  - Programme: sector-based or whole NAPA?
- Baseline and context
  - Project: directly related activities, policies, projects
  - Programme: country context, sector context
- Defining results
  - Project: outcomes and results per activity
  - Programme: "Adaptation Development Goals"
- Costing

Early decisions in Project design – Identifying Baseline Activities

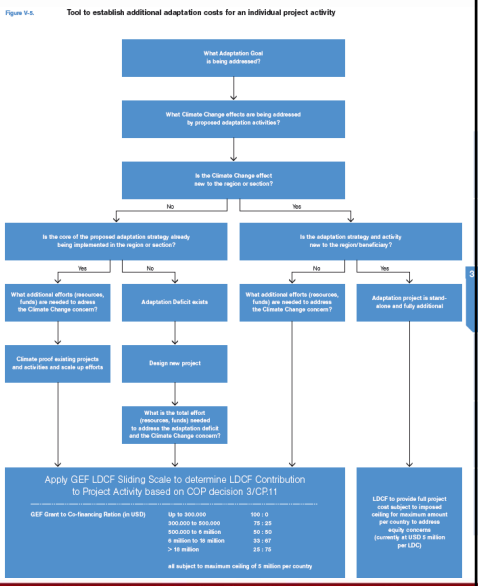
- Main national development plans, programmes and activities
- National policies on key sectors
- Poverty reduction policies
- Economic growth strategies and National investment budgets
- Governance policies (i.e. decentralization)
- Scientific and technical investments (data infrastructure)
- Disaster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



UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Early decisions in Project design

- Identifying adaptation needs
  - Justifying the project in terms of adaptation to CC
  - Costing adaptation needs
  - Balancing “investment”-type activities with “enabling” frameworks
- Defining expected outcomes
  - Project level results
  - NAPA-level outcomes (Adaptation Goals)



DESIGNING A PIF

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Summary

- Main Elements in the PIF
- PIF approval process and common hurdles and opportunities
- Collaboration with Agencies during PIF design
- Differences in PIF design according to implementation strategy

UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Main Elements in the PIF - concept framework (Part I)

- **Objective:** should capture key elements of project (theme, geographic scope, sector, etc.)
- **Components** – groups of activities
  - By topic or theme: Knowledge, science, Early warning, disaster management
  - By outcome/objective: Technical capacity strengthened, Policies updated
- Useful to limit substantive components to 3 or 4
- **Outcomes**: short-term and medium-term effects of an intervention's outputs
- **Output**: immediate result of an activity; products, capital goods and services which result from a development intervention
  - Example: dynamic cropping calendars

Main Elements in the PIF - justification (Part II)

- Provide a summary of key climate change vulnerabilities to be addressed
  - NAPA and National communications
- Highlight anthropogenic factors that are potentially exacerbating the problem
- Explain additional activities needed to reduce vulnerabilities
- Summarize baseline information (policies, plans, programmes)

Main Elements in the PIF - Justification

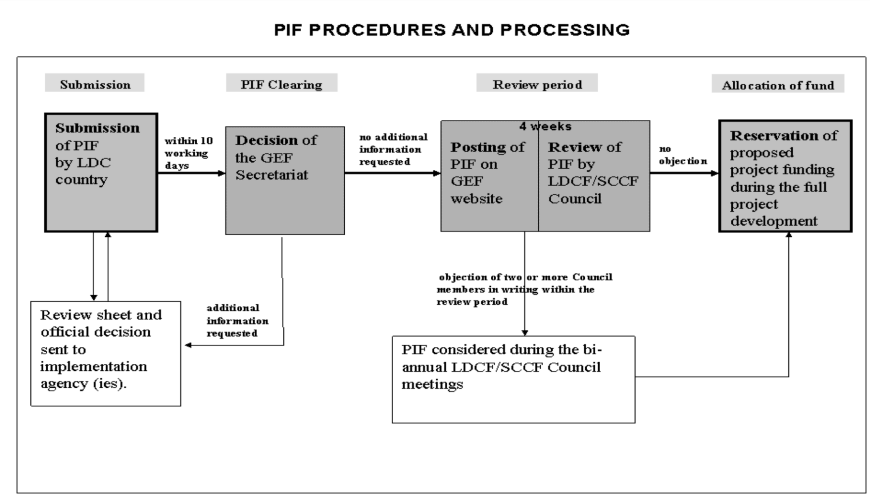
- Highlight opportunities for synergies and coordination
  - Other GEF projects
  - Activities under other MEAs
  - Major national programmes
- Additional cost reasoning
  - costs associated with meeting additional adaptation needs imposed on the country by the effects of climate change
- Useful to describe what would happen without the project (baseline, status quo, business as usual)
- Describe activities by component

Main Elements in the PIF - Costing activities

- At PIF stage, only estimates are required
- Useful to begin by costing activities before grouping costs by outcome and component
- Cost effectiveness: demonstrate that activities were weighed according to costs and benefits

Activity	Cost	output	outcomes
a	50	1	X
b	50	2	
c		3	
d		4	Y
e			
f		5	
g		6	Z
		7	
total			

PIF approval process



PIF approval process

- Review and Approval criteria
  - Technical
  - Policy conformity
  - Institutional set-up (incl. Agency comparative advantage)
  - Financial

Collaboration with Agencies

- Technical assistance in defining project concepts
- Assistance in drafting PIF elements
- Submission and revision of PIF
- Agencies' internal review process

Defining additional information gaps

- Technical feasibility of activities
  - E.g. managed aquifer recharge
- Stronger assessment of baseline
  - Capacity assessments
- Opportunities for partnerships and coordination
  - Confirmation of co-financing
  - Stakeholder consultations
- Institutional and management arrangements
- Financial arrangements
  - Detailed costs of activities and valuation of baseline

PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: (choose project type)

THE LEAST DEVELOPED COUNTRIES FUND FOR CLIMATE CHANGE (LDCF) [1]

Submission Date:

GEFSEC PROJECT ID[2]**:**
GEF AGENCY PROJECT ID:
COUNTRY(IES):
PROJECT TITLE:
GEF AGENCY(IES): (select), (select), (select)
OTHER EXECUTING PARTNER(S):
GEF FOCAL AREA: Climate Change

INDICATIVE CALENDAR (mm/dd/yy)	
Milestones	**Expected Dates**
Work Program (for FSP)	
CEO Endorsement/Approval	
Agency Approval Date	
Implementation Start	
Mid-term Review (if planned)	
Project Closing	

A. PROJECT FRAMEWORK

Project Objective:								
Project Components	**Indicate whether Investment, TA, or STA**[b]	**Expected Outcomes**	**Expected Outputs**	**Indicative LDCF Financing**[a]		**Indicative Co-Financing**[a]		**Total ($)** c = a+b
				($) a	%	($) b	%	
1.								
2.								
3.								
4.								
5.								
6.								
7. Project management								
Total project costs				A0		B0		0

[a] List the $ by project components. The percentage is the share of LDCF and Co-financing respectively to the total amount for the component.

[b] TA = Technical Assistance; STA = Scientific & Technical Analysis

B. INDICATIVE CO-FINANCING FOR PROJECT BY SOURCE AND BY NAME

(in parenthesis) if available, **($)**

Sources of Co-financing	**Type of Co-financing**	**Project**
Project Government Contribution	(select)	
GEF Agency(ies)	(select)	
Bilateral Aid Agency(ies)	(select)	
Multilateral Agency(ies)	(select)	
Private Sector	(select)	
NGO	(select)	
Others	(select)	
Total co-financing		B0

[1] This template is for the use of LDCF Adaptation projects only.

[2] Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

C. INDICATIVE FINANCING PLAN SUMMARY FOR THE PROJECT ($)

	Previous Project Preparation Amount (a)[3]	Project (b)	Total c = a + b	Agency Fee
LDCF		A		
Co-financing		B		
Total	0	0	0	0

D. FOR MULTI AGENCIES/COUNTRIES (IN $)[1]

GEF Agency	Country Name	(in $)		
		Project (a)	Agency Fee (b)[2]	Total (c) c=a+b
(select)				
(select)				
(select)				
(select)				
(select)				
(select)				
Total LDCF Resources		0	0	0

1 No need to provide information for this table if it is a single country and/or single GEF Agency project.
2 Relates to the project and any previous project preparation funding that have been provided and for which no Agency fee has been requested from Trustee.

PART II: PROJECT JUSTIFICATION

A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED ADAPTATION BENEFITS TO BE DELIVERED:

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL/REGIONAL PRIORITIES/PLANS:

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH LDCF ELIGIBILITY CRITERIA AND PRIORITIES:

D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

E. DESCRIBE ADDITIONAL COST REASONING:

F. INDICATE THE RISK THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MITIGATION MEASURES:

G. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:

H. JUSTIFY THE COMPARATIVE ADVANTAGE OF GEF AGENCY:

[3] Include project preparation fundings that were previously approved and exclude PPGs that are awaiting for approval.

PART III: APPROVAL/ENDORSEMENT BY OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT:

(Please attach the country endorsement letter(s) or regional endorsement letter(s) with this template).

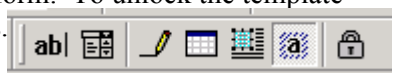
NAME	POSITION	MINISTRY	DATE *(Month, day, year)*

B. AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with LDCF policies and procedures and meets the LDCF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	Date *(Month, day, year)*	Project Contact Person	Telephone	Email Address

LDCF PIF Preparation Guidelines

Unlock instruction: The template, by default, is locked to allow the pull-down menu to function. However, in order to access the various documents through the hyperlink, the template has to be in an unlocked form. To unlock the template follow this path: Go to **View >Toolbars>Forms**. You will then see a pop up menu like this. Click on the right-most icon (a lock) to unlock.



When inputting information in the fields in the template, please use the "locked" mode.

Length of PIF Submission: We recommend the PIF to be as short as possible (4-8 pages), excluding Part III of the template.

Submission date: This is important so that Secretariat can keep track of the business standard calculation. Please put in the date that you actually submit the document to GEFSEC.

PART I: PROJECT IDENTIFICATION

The first part is the project core information and standard selections are provided to the extent possible for ease of preparation.

Indicative Calendar: All the dates are expected dates and subject to change as new developments unfold. The purpose of these dates is to have an approximate timeline for the project. For example, the expected CEO endorsement date for FSPs will be included in the PIF clearance letter from CEO to the Agencies. When deciding the date on CEO endorsement, please follow the project cycle paper provisions of not exceeding 22 months from PIF/work program approval by Council. For MSP approval date, the maximum is 12 months from the time the PIF is approved by CEO. The GEF Management Information System will be sending alerts to the Agencies about a month prior to the dates indicated in the letter to alert Agencies of the impending deadlines. It is therefore advisable that should there be any delay in the milestone dates in the endorsement/approval letter, Agencies should inform GEFSEC immediately and seek GEF CEO's concurrence to the new dates/milestones. For all other dates on the template (i.e. Agency approval, Mid-term review, etc.), Agencies should inform GEFSEC of any deviation from those indicated in the PIF template so that the GEFSEC database could be updated to reflect the changes. Agencies should also indicate any change in the milestone dates in its annual implementation reports submitted to GEFSEC. In order to avoid confusion on the various terms under the Indicative Calendar section, please refer to the definitions below:

GEF Agency Approval - The date on which the GEF Agency Board or Management approves the Grant proposal. This is equivalent to the WB's Board approval date, UNDP's Project Document's signature date, or IFAD's approval date.

Implementation Start - The date on which project becomes effective and disbursement can be requested. This is the equivalent to the WB's grant/legal agreement effectiveness date and UNDP's Project Document Signature Date. This is also the trigger date for the Trustee to allow Agencies to apply for disbursement.

Project Closing - This is the date when all project activities are financially committed, but not necessarily all disbursements completed. Generally, Agencies provide a grace period of 6 months, or more, for final disbursement after project closing, but the sums paid may not be increased from the amounts originally committed. Agencies should submit a report to GEFSEC and the Trustee on the financial closure of the project.

A. *Project Framework*: The main objective of the section is to sketch out the overall design of the project and to provide information about what the LDCF grant will finance in relation to other sources of funding.

   Since many agencies utilize their own terminology for project design, it is important to clarify what the Secretariat is asking for under each heading. The definitions are based on those developed by OECD/DAC, *Glossary of Key Terms in Evaluation and Results-Based Management* (2002).[4]

   Project Objective (refers to OECD/DAC *development objective*): intended impact contributing to adaptation benefits via one or more development interventions.

[4] The full glossary in English, French and Spanish is posted on the following website: http://www.oecd.org/dataoecd/29/21/2754804.pdf

Outcomes: The likely or achieved short-term and medium-term effects of an intervention's outputs (e.g. reduced risk of famine due to improved and climate-resilient farming practices; improved access to drinking water due to climate-resilient water harvesting techniques; and regulations approved to reduce impact of climate change)

Outputs: The products, capital goods and services which result from a development intervention, and are relevant to the achievement of outcomes. Outputs should be as concrete as possible at this stage; if it is not possible to give a discrete number for quantitative outputs providing a quantitative range would be helpful (e.g. 10 to 30 staff trained to operate and maintain an early warning system, data capture in 3-5 regions of costal lowlands).

The **Project Component** is simply the division of the project into its major parts; an aggregation of a set of concrete activities (e.g. . capacity building, including institutional capacity; policy reform; investments in climate-resilient technologies and/or interventions at the sectoral level).

The indicative financing of the project should be broken down by Project Component. For each component also indicate whether it is of investment in nature, technical assistance, or scientific and technical analysis.

The percentage under the indicative LDCF and co-financing is the percentage of LDCF or co-financing to the total amount for the component, i.e. the amount listed under LDCF and Co-financing for a particular component will add up to 100% of the component total.

B. Indicative Co-financing for the project by source and by name (in parenthesis) if available, ($): Indicate the estimated sources of co-financing by the co-financing source categories listed in the first column. Sources indicated are general categorization of co-financiers at this stage. However, if more specific information on the names of co-financiers is available, please include the names after the category (in parenthesis). In the column on types of co-financing, please pull down menu to select whether the co-financing is a grant, soft loan (or concessional loan according to OECD classification), hard loan, guarantee, in-kind contribution or unknown at this stage. Total co-financing in this table should match the co-financing total shown in the last column of Table C.

C. *Indicative Financing Plan Summary for the Project ($)*. Provide the total indicative SCCF grant and co-financing amounts. Please note that the co-financing amounts do not receive an Agency fee. Total in the Project column (last row, 3rd column) should match the total project costs amount in Table A (the last column by last row). In the project preparation column, please include only preparation funding received previously either through PDF-A or PDF-B in the second column. No new PPG amount should be included. In providing Agency fee amount, especially in Table B where there is split between/among Agencies, the rule is that total amount should not exceed 10% following the Fee Policy provisions. If for whatever reason the amount is less than 10%, please provide explanation since we will follow whatever amount Agency requested as long as it is within the 10% limit. The explanation should be included in the cover letter that accompanies the submission of PIF to GEFSEC.

D. For Multi Agencies/countries: This table provides the share of the project amount by Agency and country. For single country and single Agency implemented projects, this table could be skipped. Total LDCF Resources amount indicated in this table must match the LDCF total shown in the last column of Table B. No PPG amount should be included in this table as this will be completed in a separate PPG request template.

PART II: PROJECT JUSTIFICATION

A. Self-explanatory.

B. Answer the question by stating if the proposed project is consistent with country priorities and how it builds on ongoing programs, policies and political commitments. Responding to this question will also show country ownership of this project.

C. Describe the project's consistency with the LDCF eligibility criteria and priorities.

D. Describe the coordination with other GEF agencies, organizations, and stakeholders involved in related initiatives; if similar projects exist in the same country/region, including GEF projects, report on synergies/complementarity with this proposal and demonstrate that there is no duplication.

E. Describe additional cost reasoning for the project. LDCF support to adaptation projects follows the "additional cost" principle which distinguishes those projects from the usual GEF projects which are funded on the basis of incremental costs. The costs associated with meeting additional adaptation needs imposed on the country by the effects of climate change can be supported by the GEF through the LDCF. The cost associated with baseline development activities (that would occur anyway, also in the absence of climate change) are supported by co-financiers. The objective is to

describe what would happen without LDCF support and how the adaptation benefits would be generated? Justification for the requested LDCF grant as it relates to the achievement of decreased vulnerability and/or increased adaptive capacity to the adverse effects of climate change.

F. Self-explanatory.

G. The objective is to ensure that the selected adaptation measure is the least-cost option. If the cost-effectiveness analysis is not available at the time of PIF submission, outline the steps that project preparation would undertake to present cost-effectiveness at CEO endorsement.

H. Use the matrix of comparative advantage as a guide (a link to the paper is provided). If the GEF Agency is within the comparative advantage matrix, there is no need to respond to this section. However, if the Agency has good reason to implement the project even though it is outside the comparative advantage matrix for the particular type of project that it is proposing, the Agency should provide justification in this section.

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENY(CIES).

A. Record of endorsement of GEF Operational Focal Point (s) on behalf of the government. Agencies could add fields to this section if more than two countries are involved in the project. There are two types of endorsement letters linked to this section: one for regular projects while the other for regional projects, basically to provide a section where detailed information regarding the allocation of the project amount by focal area, by Agency and by country is provided.

B. GEF Agency(ies) Certification: This section provides Agency's certification to the submission as well as contact information for project.

GUIDE TO SECOND PRACTICAL SESSION

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Overview of practical sessions

Defining an Implementation Strategy	• Defining overall approach • Selecting an Implementing Agency • Creating a NAPA team • Identifying Baseline activities
Defining Concept Frameworks	• Defining project/programme objective • Explaining Climate Change Rationale • Describing components, outcomes and outputs
Detailing Results Frameworks	• Defining Activities • Designing Monitoring and Evaluation elements (indicators)

UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Objectives of session 2

- Overall objective: to begin the initial steps in designing a project proposal based on the NAPA
  - Define project/programme objective
  - Explain Climate Change Rationale
  - Describe components, outcomes and outputs

Guidelines

- Based on the decisions made in Session 1 on the implementation strategy, define the overall project concept.
- Identify the key climate change problem you are seeking to address (useful to differentiate with non-climate related problems)
- State how you will address this problem: solutions, interventions
- Highlight the expected benefits from the interventions above.
- From this narrative, formulate an objective (refer to problem and solution)
- Divide your interventions into components (group activities according to similarities)
- Define the expected outputs (direct results of action) and outcomes (intermediate impacts) for the components.

Example

- **Climate change threats**: changes in precipitation regime = impacts on agriculture.
- **Proposed solutions**: Revise water policy, promote irrigation technology, test water recycling technologies, implement rainwater harvesting, promote better water management at local level, undertake groundwater assessment studies, complete hydrological models for year 2100…
- **Expected benefits**: more resilient agricultural productivity, long-term food security, better knowledge…
- **Objective**: to address the impacts on agriculture from increased precipitation variability due to climate change in province X.

Example

Component	Expected Outcome	Expected Outputs
1. Demonstration of water efficiency technology	- Increased water efficiency	-Drip-irrigation implemented in cassava culture -Waste-water treatment and recycling facility in place for livestock water supply -Rainwater harvesting systems in place at community level -Community-based water management committees are in place
2. Enhancing the science base for better water policy	- Increased knowledge on water and climate change - Improved decision-making at national level	- Hydrological models for 2100 are produced for 3 water-basins - Hydro-geological assessments and models are produced for major aquifers - Water mobilization and management policy is revised

UNFCCC LDC Expert Group (LEG)
Training materials on implementation of NAPAs

Working Session Template

Working Session 2 – Defining project concept frameworks

Group # Country Case Study

Project or Programme Title:

1. Briefly state the climate change issue, how the project seeks to address it and adaptation benefits

a. Issue:

b. How the project seeks to address it

c. Expected adaptation benefits

2. State the objective of your project/programme

UNFCCC LDC Expert Group (LEG)
Training materials on implementation of NAPAs

Working Session Template

2. Describe the various components and expected outcomes and outputs

Component	Expected Outcome	Expected outputs
1.	1.1	1.1.1
		1.1.2
	1.2	1.2.1
		1.2.2
2.	2.1	2.1.1
		2.2.2
	2.2	2.2.1
		2.2.2

THE PROJECT PREPARATION PHASE

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Purpose and Scope

- To provide time and resources for full project development
  - Detailed project reasoning
  - Confirmed budgets and co-financing
  - Address remaining technical issues
  - Detailed implementation plans
- Typical PPP duration 12 months
- Average cost of a PPG is USD 100,000 (with additional co-financing)

Describing Project preparation activities

- Common activities
  - Project site selection
  - Technical feasibility studies
  - Institutional analyses – capacity assessments
  - Local consultations
  - Physical baseline assessments
  - Project documentation
  - Co-financing confirmations
  - Final implementation arrangements and workplans (Monitoring and Evaluation, stakeholder engagement, indicators)
- Usually grouped by project component, with description of expected outputs

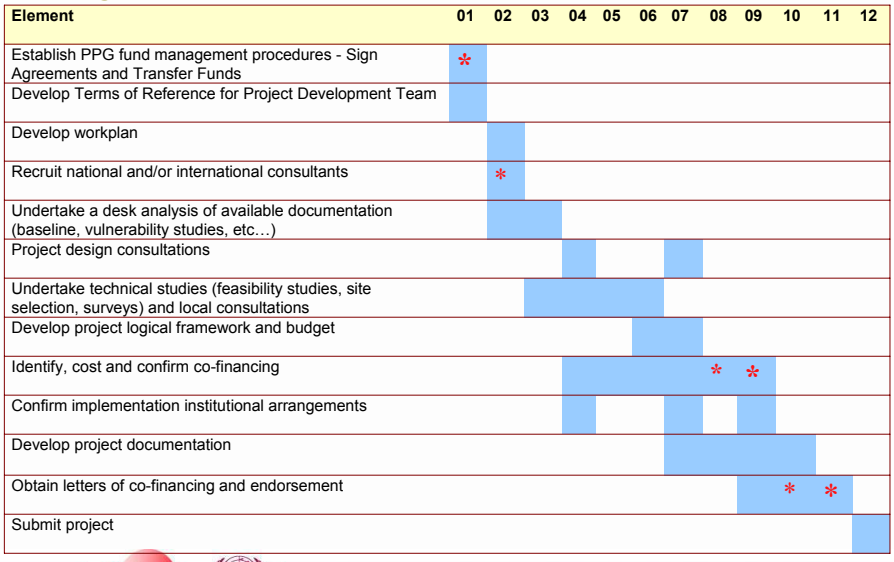
Costing Project preparation activities

- Personnel costs, consultancies, stakeholder consultations, etc.
- Costs have to be distributed
  - by project Component
  - by item of expenditure
- If working with more than one agency, the contribution of each agency should be spelled out (along with fees)

Key issues during Preparatory Phase - PPG Management

- Hiring and management of consultants
  - Building a team
  - Estimating personnel costs
  - Developing terms of reference
- Work planning
- Common hurdles in PPG management
  - Lack of human resources
  - Language
  - Administrative delays

Sample PPP workplan and common delays



REQUEST FOR PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: (choose project type)

THE LEAST DEVELOPED COUNTRIES FUND FOR CLIMATE CHANGE (LDCF)[1]

Submission date:

GEFSEC PROJECT ID[2]**:**
GEF AGENCY PROJECT ID:
COUNTRY(IES):
PROJECT TITLE:
GEF AGENCY(IES): (select), (select), (select)
OTHER EXECUTING PARTNER(S):
GEF FOCAL AREA: Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	
Completion date of PPG	

B. PAST PROJECT PREPARATION ACTIVITIES ($)

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES ($)

Describe the PPG activities and justifications:

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: ($)

	Project Preparation	Agency Fee
GEF financing		
Co-financing		
Total	0	0

[1] This template is for the use of LDCF Adaptation projects only.
[2] Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

E. FOR MULTI AGENCIES/COUNTRIES

GEF Agency	Country Name/ Global	(in $)		
		PPG (a)	**Agency Fee** (b)	**Total** c = a + b
(select)				
(select)				
(select)				
(select)				
(select)				
(select)				
Total PPG Requested		0	0	0

F. PPG BUDGET REQUESTING LDCF FINANCING

Cost Items	Total Estimated Person weeks (pw)**	LDCF	Co-financing ($)	Total ($)
Local consultants *				
International consultants*				
Travel				
Total PPG Budget		0	0	0

* A separate Annex A for Consultant cost details should be included in this PPG Request.

** Person weeks here refers to the weeks that are to be charged to the LDCF grant. One can also provide person months, if this is more applicable to the project. For co-financing, provide only the dollar amount.

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with LDCF policies and procedures and meets the LDCF criteria for project preparation.

Agency Coordinator, Agency name	Signature	Date *(Month, day, year)*	Project Contact Person	Telephone	Email Address

Annex A

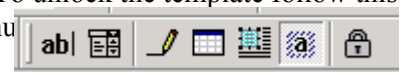
Consultants Financed by the Project Preparation Grant (PPG)

Position Titles	$/ person week*	Estimated PWs**	Tasks to be performed
Local			
International			

* Or person month, if applicable. Please indicate clearly.

** Provide weeks or months as appropriate that corresponds to the rate provided in the previous column.

LDCF - PPG Preparation Guidelines

Unlock instruction: The template, by default, is locked to allow the pull-down menu to function. However, in order to access the various documents through the hyperlink, the template has to be in an unlocked form. To unlock the template follow this path: Go to **View >Toolbars>Forms**. You will then see a pop up menu  Click on the right-most icon (a lock) to unlock.

When inputting information in the fields in the template, please use the "locked" mode.

Submission date: This is very important so that Secretariat can keep track of the business standard calculation. Please put in the date that you actually submit the document to GEFSEC.

The first part is the project core information and standard selections are provided to the extent possible for ease of preparation.

A. Project Preparation Timeframe: Provide the estimated start date and completion date of the PPG.

B. Past Project Preparation Activities: Provide the past project preparation activities using PDF-A, -B or –C and corresponding amounts in GEF financing and co-financing.

C. Proposed Project Preparation Activities and justifications: Describe the activities of the PPG, i.e. the activities that will be financed by GEF grant and co-financing for the preparation of the project, and provide justification as needed.

D. Financing Plan Summary: Provide the financing of PPG from GEF sources and co-financing sources and corresponding Agency fee for the GEF financing source.

E. PPG requested by Agency (ies) and country (ies): This table provides the share of the PPG amount by Agency and country. For single country and single Agency implemented projects, this table could be skipped. In providing Agency fee amount, the rule is that total amount should not exceed 10% following the Fee Policy provisions. If for whatever reason the amount is less than 10%, please provide explanation since we will follow whatever amount Agency requested as long as it is within the 10% limit. The explanation should be included in the cover letter that accompanies the submission of PPG request to GEFSEC.

F. PPG Budget Requesting LDCF Financing: LDCF PPG finances mainly consultant services for the preparation of the project, including their travel. A separate Annex A is included with this PPG request providing details of the consultant person week, unit cost of the consultants and tasks to be performed by the consultants.

C. GEF Agency(ies) Certification: To be signed off by the Agency's designated authority.

Annex A: Detailed breakdown of consultants by position / title, unit cost of the consultants, and person weeks intended for the tasks to be performed in the last column.

UNFCCC LDC Expert Group (LEG)
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Sample Project Preparation WorkPlan

Element	Responsible Party	01	02	03	04	05	06	07	08	09	10	11	12
Establish PPG fund management procedures - Sign Agreements and Transfer Funds	Agency with NAPA focal point												
Develop Terms of Reference for Project Development Team	NAPA focal point - with Agency												
Develop workplan	NAPA focal point												
Recruit national and/or international consultants	NAPA focal point - with Agency												
Undertake a desk analysis of available documentation (baseline, vulnerability studies, etc…)	Consultants												
Project design consultations	NAPA focal point with consultants and Agency												
Undertake technical studies (feasibility studies, site selection, surveys) and local consultations	Consultants												
Develop project logical framework and budget	Consultants with NAPA focal point												
Identify, cost and confirm co-financing	NAPA focal point												
Confirm implementation institutional arrangements	NAPA focal point												
Develop project documentation	Consultants with NAPA focal point												
Obtain letters of co-financing and endorsement	NAPA focal point												
Submit project	NAPA focal point												

Fact Sheet

Example : PPG Implementation Plan from Djibouti

Activities	Outputs	Results	Due Date
COMPONENT 1. Scientific and Technical assessments of vulnerability and of adaptation options (27,000 GEF, 2,000 co-fianancing) COMPONENT 2. Participatory needs assessments 10,000 GEF, 3,000 co-financing) COMPONENT 3. Project elaboration and institutional arrangements 35,000 GEF, 4,000 co-fianancing) COMPONENT 4: Develop a financial plan and co-funding scheme	1. Project Document. The document will cover the following in detail: ▪ Clear description of baseline activities and related sources of financing; ▪ Explicit specification of all adaptation activities to be financed under the LDCF and their adaptation rationale (why and how are they supposed to reduce vulnerability and/or increase adaptive capacity beyond what is already being done including justification in terms of economic benefits, cost effectiveness); ▪ Clear description of the geographic focus of the project activities (especially catchment management demonstrations) in Djibouti; ▪ Clear description of the expected roles and responsibilities among different stakeholders (national and sub-national authorities, different ministries and institutions, and UNEP, considering the comparative advantages. ▪ Clear description of the project management structure ▪ Definition of goal, objective, outcomes, outputs and related indicators; ▪ Logframe and description of a Monitoring and Evaluation (M&E) system including impact	High quality project design	First Draft February 30, 2008 Second Draft March 30, 2009 with a view to submitting a CEO endorsement request April 30, 2009

Fact Sheet

(a) Negotiate with Government Counterpart (b) Explore and confirm Multilateral and Bilateral funding opportunities (c) Obtain official endorsement letters and guarantees (3,000 GEF, 1000 co-financing) Organization of technical meetings, stakeholder consultations, validation meetings (integrated above plus co-financing by government)	indicators. These indicators, which will tend to focus on capacity, institutional strengthening and policy formulation and specifically address adaptation relevant impacts, will be based on the guidance of UNEP's M&E framework for adaptation projects. The joint UNEP/UNDP Poverty and Environment Facility is also examining the development of environmental indicators for adaptation which may be applied through this project; ▪ Stakeholder Involvement Plan during the design, preparation, implementation, and M&E Components. 2. A report on the use and completion of activities as agreed under this contract, including responses to comments provided by the GEF Secretariat's review of the PIF/PPG request.		April 30 2009

Fact Sheet

Example : PPG workplan for Benin

Composante du PPG	Activités	Résultats attendus	Deadline	Responsables	Coût (FEM/UNDP)	Observations
Evaluation des besoins et faisabilité techniques des options et mesures d'adaptation	Evaluation approfondie des risques climatiques et des impacts sur le secteur agricole	-méthodologie -Carte de régionalisation des risques climatiques et de leurs impacts -Carte sur les moyens d'existence dans les 4 zones agroécologiques prioritaires -Carte de synthèse par zone agroécologique	***1er draft mi-Juillet***	DCN	5.000$ FEM	cette Etude permettra de formuler les TdR pour la carte de vulnérabilité 1er daft mi-Juillet pour le Prodoc au niveau ENP et CI *Les cartes produites couplées aux observations de terrain permettront d'appuyer l'argumentaire du scénario FEM. Par ailleurs ces produits pourront permettre de définir les TDR de l'output 2 de la composante 2 du projet.*
	Scénario de base – Analyse du problème	Point des projets mis en œuvre et en cours (budget, durée, bénéficiaire, planifié, réalisé) Rencontrer acteurs clés Identifier 5-10 institutions (PANA, PIF, planification de travail pour le PPG)	***A voir***	ENP		Consulter le Prodoc du Burkina *Se baser sur les résultats du groupe 3 de la journée de l'atelier de lancement*
	Revue des meilleures pratiques (national et régional)	-options endogènes d'adaptation dans les quatre zone agro-écolo -documenter les outils et méthodes d'adaptation au niveau local par zone agro écologiques Analyse des Faiblesses- Forces- Opportunité- Contraintes Recommandations sur les mesures	***Avant mi-mai***	ENP+consultation	8000 $ PNUD Recrutement de deux personnes Documenter l'alerte précoce 5000 $ PNUD (visite 5 jours au Mali pour 2 personnes	*Critère de choix des sites d'investigation pour le PPG* (projet de développement en cours, organisation communautaire..) (Etude dans les 4 zones agro-écologiques des meilleures pratiques agricoles qui font face au changement climatique (Barrières, inclure la

MOVING TOWARDS THE FINAL PROJECT DOCUMENT

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Complete Package at submission

- GEF CEO Endorsement template
- Agency Project Document and Annexes
- Letters of co-financing
- Letters of endorsement

GEF CEO Endorsement document

- Similar to PIF but with higher degree of detail
  - Project framework
  - Sources of funding
  - Project justification, links, and additional cost reasoning
  - Monitoring and evaluation
  - Implementation plans
- If project design has evolved during the preparation phase, indicate changes (useful to have a PPG report annexed)

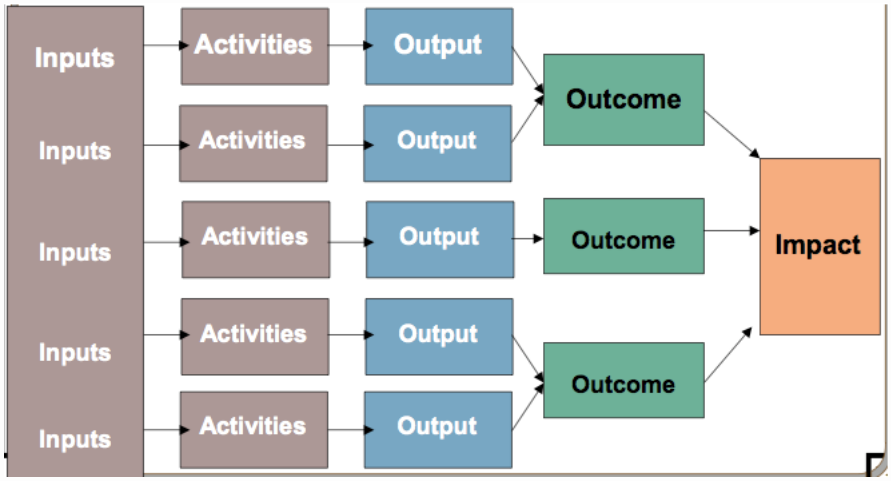
Common Elements of Agency Project Documents

- Situation analysis
  - Describes the climate change vulnerabilities
  - Provides information on overall context
  - Describes the overall adaptation solution and possible barriers
- Descriptions of baseline activities
  - Link the project to ongoing initiatives, projects, plans and policies
  - Ensure the project fits within the broader development framework and cooperation policies
- Description of project strategy, approach, activities and key results
- Results Frameworks
- Descriptions of project management arrangements
- Monitoring and evaluation plans
- Risks analyses

Results Frameworks

- Highlight the logical chain from activities to outcomes
- Include indicators, baseline, targets, means of verification
- Indicators and targets can be required at activity, output or outcome level (or all).
- Often require defining “inputs” or budget expenditure items
- Require assigning responsibilities for execution

Chain of results



Example

Component / Outcome	Activities / Outputs	Indicator	Target	Baseline	Verification
OUTCOME 1: CLIMATE RESILIENCE OF CROP SYSTEMS USED BY RURAL POPULATIONS IMPROVED	Selection of enhanced and resilient agricultural genetic material	Availability of resilient germplasm for maize, cassava and rice	After 6 months	Basic seed material exists	Visual observation; laboratory inventories
	Strengthened capacity for agricultural extension services	Degree of operational monitoring of agriculture	Targeted populations benefit from adequate support by the end of the project	Relevant organizations have low capacity for on-the-ground extension	Capacity assessments ; project reports

Adapted from Democratic Republic of Congo, NAPA implementation project

Issues in developing the results frameworks

- Defining outputs, outcomes and indicators
- Aligning budget inputs to each activity and expenditure items
- Formulating realistic targets
- Including Monitoring and Evaluation:
  - Agency and GEF requirements
  - Regular monitoring: quarterly, semi-annual or annual reports (including financial)
  - Punctual evaluation: Mid-term and final evaluations

Project Budgets

- Define basic financial assumptions
  - Consultants (national, international)
  - Staff costs (average)
  - Travel costs (internal and international)
  - Labor costs (for physical works)
  - Equipment costs (acquisitions and rentals)
- Factor in management costs
  - Usually not more than 10% of the total project budget
- Value baseline activities
  - Personnel costs
  - Management
  - Ongoing programmes and projects

Project Budgets

- Distribute project costs between LDCF and co-financing
  - Different funding sources will have varied requirements
- Agency fees
  - 10% of total project budget (including PPG budget)
  - If working with multiple agencies, an agreement on fee distribution is usually necessary

CO-FINANCING IN NAPA LDCF PROJECTS

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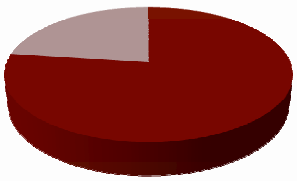
Basic concepts

- Addressing the adverse impacts of climate change imposes ***additional*** *costs* (costs to meet immediate adaptation needs)
- LDCF funds are designed to help countries meet these additional costs.
- Activities that would be implemented regardless of climate change are considered part of the ***baseline***.

Baseline and additional costs



- Regular development activities
- additional adaptation costs

UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Co-financing under the LDCF

- Co-financing is used to demonstrate how the project builds on current conditions
- Co-financing can be mobilized ***in cash*** (grants, loans, usually understood as a fresh flow of funds) or ***in kind*** (infrastructure, ongoing programming, staff time, equipment).

- Under the LDCF, co-financing requirements can be met through ***in-kind contributions from the baseline***.

Co-financing under the LDCF

Expectations for co-financing amounts are usually calculated using a sliding scale:

Average cost of most NAPA projects

Total project cost	LDCF funding
Less than 300,000 $	Up to 100%
Between 300,000 $ and 500,000 $	Up to 75%
Between 500,000 $ and 6 million $	Up to 50%
Between 6 million $ and 18 million $	Up to 33%
Higher than 18 million $	Up to 25%

Calculations are based on assumptions regarding the characteristics of a project of a certain amount. It helps avoid complicated, case-by-case calculations and scenario development (baseline vs. adaptation)

Co-financing for implementation of NAPAs

- For NAPA implementation, co-financing can therefore be:
  - **In kind**
  - The value of ongoing relevant ***national programmes***, ***projects or plans***
  - The value of ongoing relevant ***development cooperation programmes and projects***

- Co-financing is NOT:
  - Intended as a conditionality, but rather as a basis on which to build adaptation projects
  - A formal requirement to deliver additional funds towards the project (although it may help)

Examples of co-financing

- 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 - Water sector Adaptation project in Comoros

Project outcomes, activities	Baseline co-financing
Institutional capacity strengthened to integrate climate change information into water resources management	UNDP-BCPR proposal for $918,550, for climate risk mapping, strengthening of climate risk monitoring and integrating climate risk management into disaster risk reduction policy.
Improved water supply and water quality for selected pilot communities to combat impacts of climate change	AfDB have recently approved a grant for E12 million (c.$16 million) for water supply

AN EXAMPLE PPG

Insert country name

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Project overview

- Provide a summary of the PIF
  - Key climate change issues and solutions
  - Project components, activities
  - Identify implementing agency(ies)

Project Preparation Process

- Provide information on PPG
  - Amount of PPG including co-finance (and source)
  - Summarize PPG activities
  - Timing and workplan
  - Project development Team composition
- Identify key challenges and opportunities during PPG phase
  - Any delays and reasons thereof
  - Any achievements and new knowledge generated
  - Any lessons learned

GUIDE TO THIRD PRACTICAL SESSION

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Overview of practical sessions

Defining an Implementation Strategy

- Defining overall approach
- Selecting an Implementing Agency
- Creating a NAPA team
- Identifying Baseline activities

Defining Concept Frameworks

- Defining project/programme objective
- Explaining Climate Change Rationale
- Describing components, outcomes and outputs

Detailing Results Frameworks

- Defining Activities
- Designing Monitoring and Evaluation elements (indicators)

Objectives of session 3

- Overall objective: To complete the key elements of final project design
  - Defining Activities
  - Designing Monitoring and Evaluation elements

Guidelines

- Based on the decisions made in Session 2 on the project framework, define the key activities, indicators and means of verification.
- *Activities* should directly contribute to creating the *outputs.* Activities can also be seen as *"inputs".*
- *Indicators* are measures of performance in achieving the result, or evidence of change as a result of your action. They are formulated as variables.
- Indicators can be aligned to any project framework element: objective, activities, outputs or outcomes.
- Identify means of verification: how you will detect a change in your indicator; source of information.

Example

Outcome	Outputs	Activities
Outcome 1 – Capacity to plan for and respond to climate changes in the agro-sylvo-pastoral sector improved.	1.1 Sectoral legislation, policy and planning/programming frameworks revised to account for adaptation to climate change.	1.1.1 Develop a tool for analysing existing legislation, policies and programmes; 1.1.2 Analyse all legislation/policies/programmes in the water, agriculture, livestock and forestry sectors; 1.1.3 Based on lessons learnt from pilot villages, make recommendations for additions/modifications (for example incorporating CC risk management into programmes); 1.1.4 Inform and raise awareness of concerned national and regional actors, both governmental from civil society, in the sectors.

Example

Outcome	Indicator	Means of Verification
Outcome 1 – Capacity to plan for and respond to climate changes in the agro-sylvo-pastoral sector improved.	3. Number of agencies having taken institutional measures to respond to climate change. 4. Awareness level of rural population of climate change and its impacts.	Review of organigrammes or legal texts for concerned agencies. Dedicated surveys co-financed by project and implemented by experts in social surveys.

Example

Activity	Indicator	Means of Verification
1.1.1 Develop a tool for analysing existing legislation, policies and programmes;	Number of tools and methodologies; number of analyses produced	Reports
1.1.4 Inform and raise awareness of concerned national and regional actors, both governmental from civil society, in the sectors.	Number of seminars; number of participants; number of information products	Questionnaires, reports and documents

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Working Session Template

Working Session 3 – Results Frameworks

1. Define activities necessary to achieve the outputs and outcomes

Outcome	Outputs	Activities
1.1	1.1.1	
	1.1.2	
1.2	1.2.1	
	1.2.2	
2.1	2.1.1	
	2.2.2	
2.2	2.2.1	
	2.2.2	

2. Define the indicators and means of verification for selected outcomes and outputs

Outcome	Indicators	Means of Verification
1.1.		
1.2.		
…		
…		

Outputs	Indicators	Means of Verification
1.1.1		
1.1.2		
…		
…		

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Working Session Template

SCALING UP ADAPTATION EFFORTS

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Key lessons

- Successful NAPA implementation involves managing processes as much as projects
- Thorough implementation strategies can help take advantage of opportunities as increased funding becomes available and minimize transaction costs
- As opportunities for funding adaptation arise, it will become important to build on existing capacity and to promote continuity

Scaling up from the NAPA

- NAPAs have focused on “urgent and immediate” adaptation needs
- Where feasible, implementation strategies should also focus on longer-term adaptation challenges
  - How to integrate climate change and climate risk management into sectoral policies
  - How to make sure progress on MDGs isn’t undermined by climate change
- There is scope for developing analytical tools to integrate climate change issues into economic and development planning

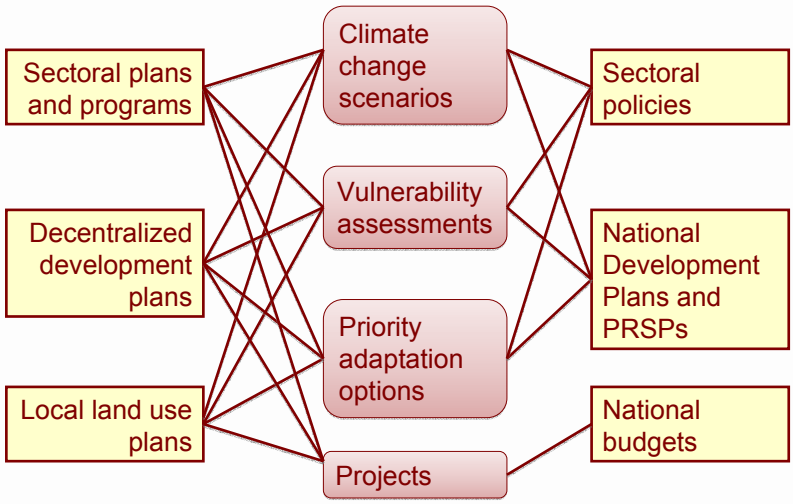
Mainstreaming adaptation

- *Mainstreaming* adaptation means effecting policy change based on consideration of climate change impacts
- Mainstreaming is key to:
  - Achieving large-scale transformations in response to, or in anticipation for, expected climate change
  - Mobilizing increased national and international resources for implementing adaptation options
  - Ensuring that development takes a resilient route and is not jeopardized by climate change

Mainstreaming adaptation

- Mainstreaming can happen at many levels and in many ways;
  - Integrate NAPA projects into national budgets
  - Integrate vulnerability assessments into poverty assessments
  - Integrate principles of NAPA (resilience, climate-proofing) in sectoral planning
  - Adjust national or sectoral growth scenarios according to climate change
  - Implicit or explicit integration

Mainstreaming NAPA



Mainstreaming adaptation

- Mainstreaming can benefit from targeted processes that
  - Bring together planners in key ministries (at national or decentralized levels)
  - Provide targeted analytical tools (designed for economists, finance ministries, social ministries)
- Mainstreaming is an iterative process that needs to be maintained (and repeated)
- Mostly about changing perceptions, understanding, and behavior

Suggested basic road map for mainstreaming

Set-up institutional mechanism	Identify entry points	Implement a communication strategy
• Involve planners in key Ministries • Involve planners in central agencies (finance, plan, budget)	• Identify elements of NAPA and key targets for mainstreaming (e.g NAPA projects into provincial budget)	• Develop targeted analytical products (for each entry point) • Engage ministry focal points in analysis and policy revisions

OTHER ELEMENTS OF THE LDC WORK PROGRAMME

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Elements of the LDC Work Programme

- NAPAs are part of the LDC work programme that also includes
  - Strengthening existing and, where needed, establishing national climate change secretariats and focal points
  - Providing training, on an ongoing basis, in negotiating skills and language
  - Promotion of public awareness programmes
  - Development and transfer of technology
  - Strengthening the capacity of meteorological and hydrological services

Progress to date

- Elements that have been or are being addressed:
  - Preparation of NAPAs
  - Negotiations training
  - Strengthening of focal points and climate change secretariats
- Elements that remain to be addressed:
  - Strengthening of meteorological and hydrological services
  - development and transfer of technology
  -

Links between NAPAs and the LDC work programme

ELEMENTS OF WORK PROGRAMME	POTENTIAL LINKS TO NAPA
Strengthening existing and, where needed, establishing national climate change secretariats and focal points	- Stronger capacity for interdepartmental coordination - Teams established for NAPA usually function as climate change secretariats - Some NAPA implementation projects include measures to strengthen these institutions: training, infrastructure, institutional reforms
Promotion of public awareness programmes	- NAPA development contributes to creating awareness - Most NAPAs also contain awareness programmes as parts of projects

Links between NAPAs and the LDC work programme

ELEMENTS OF WORK PROGRAMME	POTENTIAL LINKS TO NAPA
Development and transfer of technology	- NAPA development helped define technology needs - NAPA implementation projects can help access new technology in various sectors
Strengthening the capacity of meteorological and hydrological services	-NAPA usually recognizes the need for better data, stronger climate predictions and hydrological knowledge - Some NAPA implementation projects contain provisions to enhance that capacity, but it is likely to remain insufficient given the high costs

Examples from NAPA implementation projects*

- **Awareness**
  - Benin: production of guideline documents, website, publications in local languages
- **Technology**
  - Dem. Rep. Congo: agricultural research and extension, new approaches to water mobilization and management.
- **Meteorology and Hydrology**
  - Djibouti : installation of monitoring equipment and data treatment for climate and hydrological data

* To be revised based on approval of projects

Fact Sheet

Seeking Synergies during NAPA Implementation

The important linkages between climate change, land degradation and biodiversity, as well as the interconnectedness between development and vulnerability, provide a strong rationale for seeking synergies when implementing NAPAs. Synergies are a means of addressing complementary goals while also potentially generating increased resources for implementation.

A number of the issues that figure most prominently in NAPAs are also found under other Conventions and multilateral agreements. In all cases, adaptation goals are closely tied to development goals. Promoting synergies involves building on the capacity that exists within a country, regardless of sectoral "boundaries" or Convention "lines".

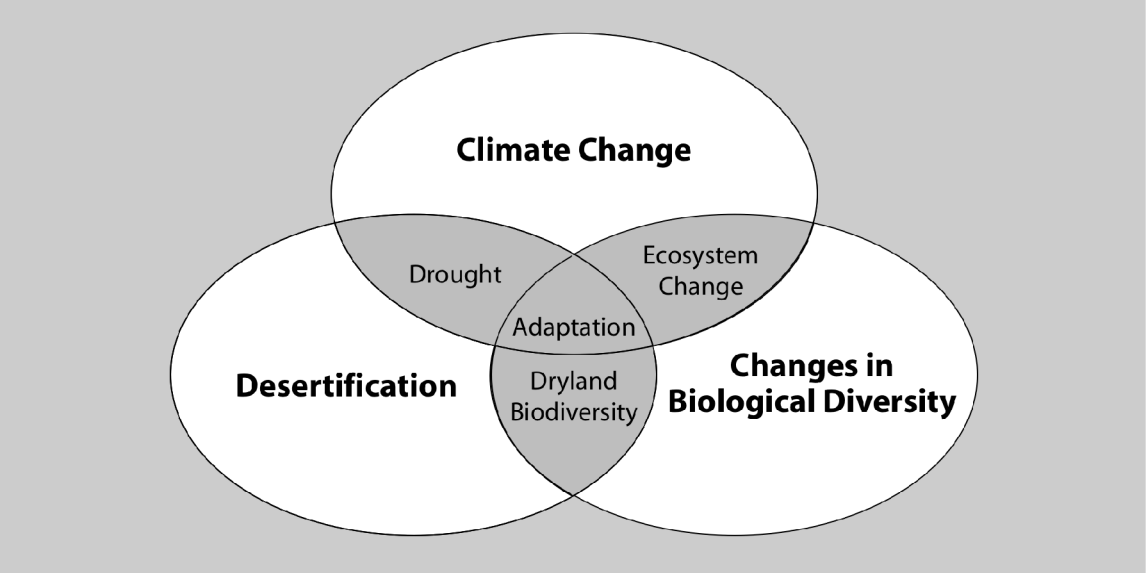

Figure 1: interconnections between climate change, desertification and changes in biological diversity (from LEG guidelines for NAPA preparation)

NAPA implementation provides a new set of opportunities to seek concrete synergies, through the development of common projects and programmes, or by pooling resources and building on existing structures and institutions.

Synergies can be identified at various stages during the NAPA implementation phase:

- During the development of an implementation strategy: The NAPA implementation strategy could take on board other environmental or development objectives in order to generate additional benefits and to take advantage of broader funding opportunities.

Fact Sheet

- During the baseline analysis: by identifying ongoing project and programmes that may present a relevance to adaptation.

- During the project development phase: by identifying specific activities or sites that present opportunities for joint action or for achieving multiple objectives.

Most importantly, taking advantage of synergies requires the development of broader networks and institutional coordinating mechanisms that cut across sectors.

Table 1: Possible adaptation strategies and the benefits they bring to each MEA

	UNCCD	CBD	UNFCCC
Disaster planning framework: early warning systems; emergency measures to respond to floods, droughts, etc.	Help ensure protection of vulnerable communities (e.g., creating food and water reserves, cattle protection schemes).	Identification of fragile ecosystems and species prior to a crisis, to maximize protection during and following a disaster.	Determine priority measures to minimize loss of life and damage to livelihoods as a result of extreme weather events.
Integrated watershed management: agroforestry (firewood, fodder, annual crops), run-off harvesting for trees and range.	No over-exploitation of local water hence low salinization risk; run-off harvesting, terraces and trees conserve soil.	Conserves much of the watershed's biological diversity, utilizes parts of it thus contributing to overall sustainability.	Increases water retention and hence its availability in times of drought. Slows water movement, reducing the risk of flash floods. Maintains vegetation as carbon sink and reservoir.
Intensive greenhouse agriculture and aquaculture (cash crops, fish, industrial materials from algae).	High income per unit soil and water used, thus economizing on land and water resources.	Reduced pressure on land leaves habitats for in-situ biodiversity conservation, thus promoting its utilization.	Reduced pressure on land (a) allows conservation of biodiversity resistant to climate change; (b) maintains carbon sink and reservoir.
In-situ conservation of biological resources, wildlife conservation.	Potential for economic exploitation as an alternative livelihood; promotion of ecotourism.	Global benefits from dryland biodiversity assets.	Conservation of genetic diversity instrumental in restoring climate change damaged ecosystems.

Adapted from: "Review of Activities for the Promotion and Strengthening of Relationships with other Relevant Conventions and Relevant International Organizations, Institutions and Agencies." ICCD/COP3/9. 1999.

Figure 2: Synergies between adaptation measures and other MEAs (from LEG guidelines on NAPA development)

COUNTRY TEAM WORK ON IMPLEMENTATION STRATEGY AND NEXT STEPS

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Objectives

On the basis of the issues raised in your pre-workshop questionnaire and taking into account the outcomes of the workshop:

- To determine what the next steps should be for the implementation of your NAPA
- To take the opportunity to discuss country-specific issues with Agencies and other resource persons

Key questions

You may use the following questions to guide your discussions:

- What has been our NAPA implementation strategy? (implicit or explicit)
- Is this strategy still relevant and efficient today?
- Is there a need for revising or updating the NAPA?

If your first NAPA project has been submitted for funding, what should be the next step?

If your NAPA project is being developed, what, if any, adjustments could be made?

Resource persons are available to answer any questions

CONCLUSION AND THE WAY FORWARD

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Key issues explored during the workshop

- Implementation strategies and options for NAPA operationalization
- Transitioning from the NAPA project to a full project funding request
- Developing project concepts, frameworks and results
- Managing the GEF-related processes
- Roles, responsibilities and relationships with Agencies
- Financing and co-financing
- Mainstreaming adaptation

Key lessons

- Successful NAPA implementation involves managing processes as much as projects
- Thorough implementation strategies can help take advantage of opportunities as increased funding becomes available
- As opportunities for adaptation arise, it will become important to build on existing capacity and to promote continuity

Key lessons

- Important to have clear roles and responsibilities, expectations and division of labor between national team and agency well understood
- Good to understand trade-offs and to grasp opportunities
- There is much flexibility in moving from the NAPA towards implementation: types of approaches, timelines, finance, nature of projects
- Project development is also a negotiating process

The way forward

- We hope that you are now better equipped to take your NAPA implementation process a step further
- The LDC Expert Group will continue to work towards facilitating this process and overall capacity building for LDCs
- We will continue to monitor opportunities for funding adaptation and NAPA implementation, but it will be important for LDCs to be ready to seize these opportunities

Thank you

THEMATIC DISCUSSION 1: KEY ADAPTATION OPTIONS IN AGRICULTURE AND FOOD SECURITY

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Goals of session

- Introduce issues to consider in designing activities to be included in NAPA implementation projects
- Highlight need to link with state of practice and state of knowledge in relevant sector including existing institutions
- Introduce case study of elaboration of Adaptation Goals and Strategies given in the Step-by-Step Guide

Introducing adaptation

- Considerations in defining adaptation
  - What is system being addressed?
  - What is goal of the system, important characteristics (e.g. services towards socio-economic development, human welfare, etc)
  - How will climate change affect the system or the delivery of systems and how to cope or adjust to this?

Introducing adaptation: projects, adaptation deficit

- What is an adaptation **project**?
  - A project to the LDCF or other adaptation funds or is there more?
- Concept of development baseline/benchmark and “Adaptation Deficit”
  - In many LDCs, many services under what one could call the sustainable development line/benchmark, e.g. climate information and early warning systems not fully in place
  - Systems not fully able to cope with current climate variability – this defines an adaptation deficit
  - So adaptation activities have to overcome this deficit in addition to addressing new threats and risks

Defining Adaptation

We apply the following definition of adaptation:[2]

Adaptation to climate change is defined as human-driven adjustments in ecological, social or economic systems in response to actual or expected climate stimuli and their effects or impacts.

Each of these systems has multiple levels and components that cascade multiple temporal and spatial scales, often interacting with each other in complex ways. The adjustments and interventions can thus be at any appropriate entry point in these interacting multi-disciplinary and multi-scaled systems.

Further, adaptive capacity then refers to the potential or ability of a system (social, ecological, economic, or an integrated system such as a region or community) to minimise the effects or impacts of climate change, or to maximise the benefit from positive effects of climate change.

Adaptation can take the form of activities designed to enhance the adaptive capacity of the respective system, or actions that modify socio-economic and environmental systems to avoid or minimize the damage caused by to climate change. Methods for achieving these include implementing new activities that are exclusively in response to climate change, or the modification of existing activities to make them more resilient to future climate change risks (climate-proofing).

From the Step-by-Step Guide, page 3

Adaptation Goals

Box AI-3. **Adaptation goals**

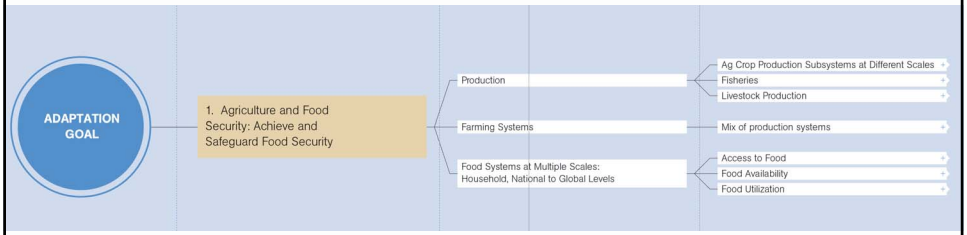
- **Agriculture and Food Security:** Achieve and Safeguard Food Security
- **Water Resources:** achieve and safeguard water security and sanitation
- **Physical Safety:** Protecting Life and Property against climatic extremes and disasters including along low-lying and coastal areas
- **Protecting livelihoods and enhancing adaptive capacity**
- **Climate Proofing** major components of national economies and Sustainable Development [Climate proofing the socio-economic growth engine]
- Supporting and Enhancing **Human Health and Safety**
- Protecting and Enhancing Ecosystem structure and function for Sustainable Provision of **Ecosystem Goods and Services** including Land Use
- Climate Proofing Renewable **Energy Sources and Supplies**
- Protecting and Preserving **Cultural Values and Cultural Systems**
- Protecting and Improving the Design of Critical **Infrastructure and Land Use Planning**

Scales of adaptation activities

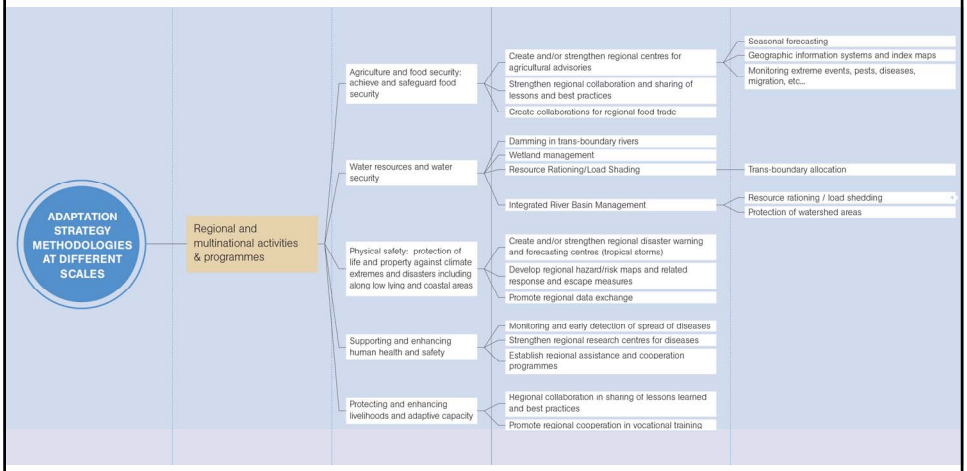
Box AI-4. **Scales at which adaptation activities are implemented**

- Small-scale/Local/Community Level
- Activities in Coastal Areas
- Urban Areas
- Sub-national Level Projects & Activities
- Integrated River Basin Management
- National Level Projects & Programmes including Sector-wide approaches
- Regional – Multinational Project Activities & Programmes
- Global Level Activities & Projects

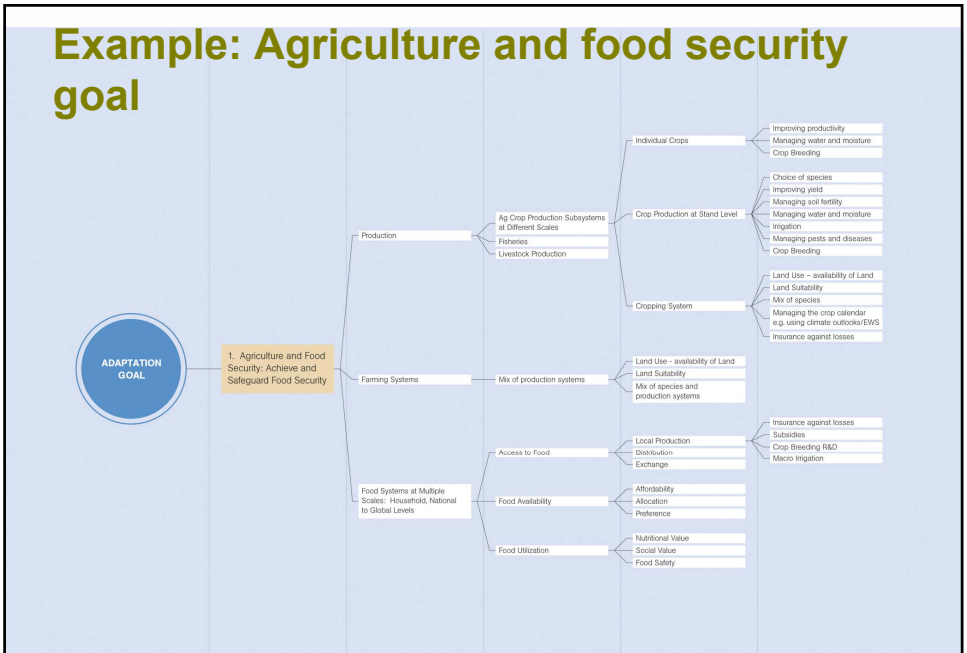
Example: Agriculture and food security goal



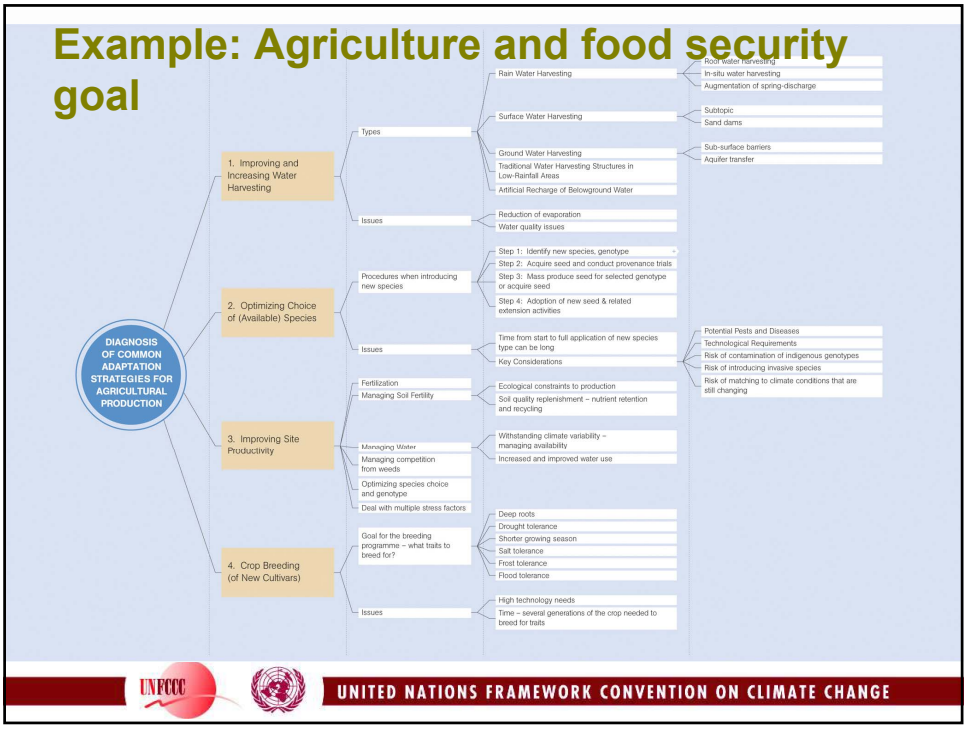
Example: Agriculture and food security goal



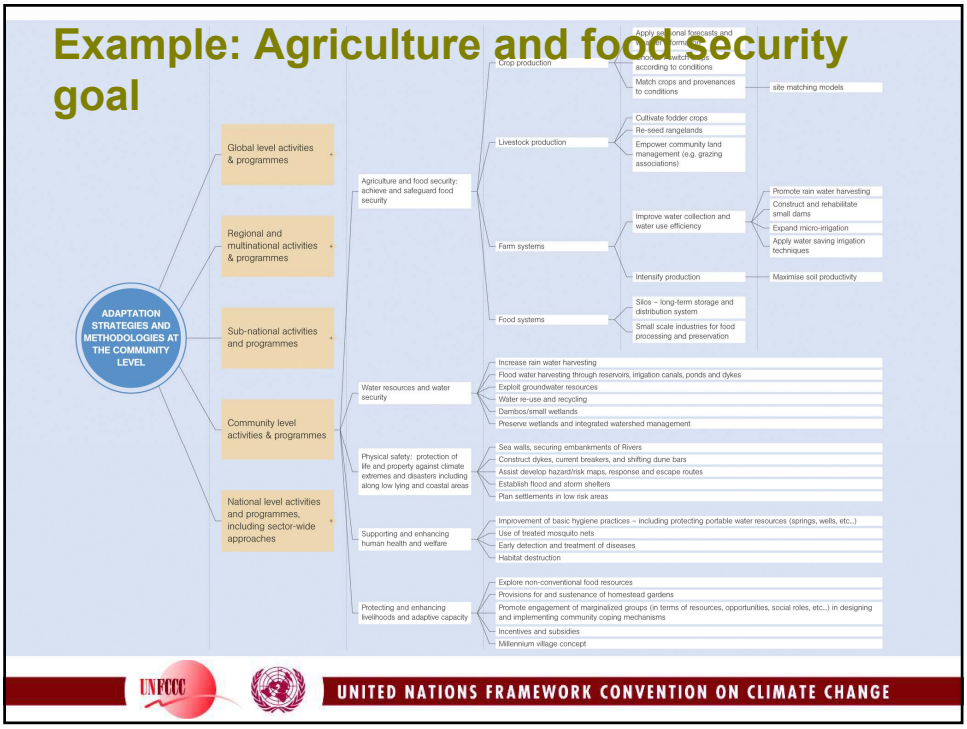
Example: Agriculture and food security goal



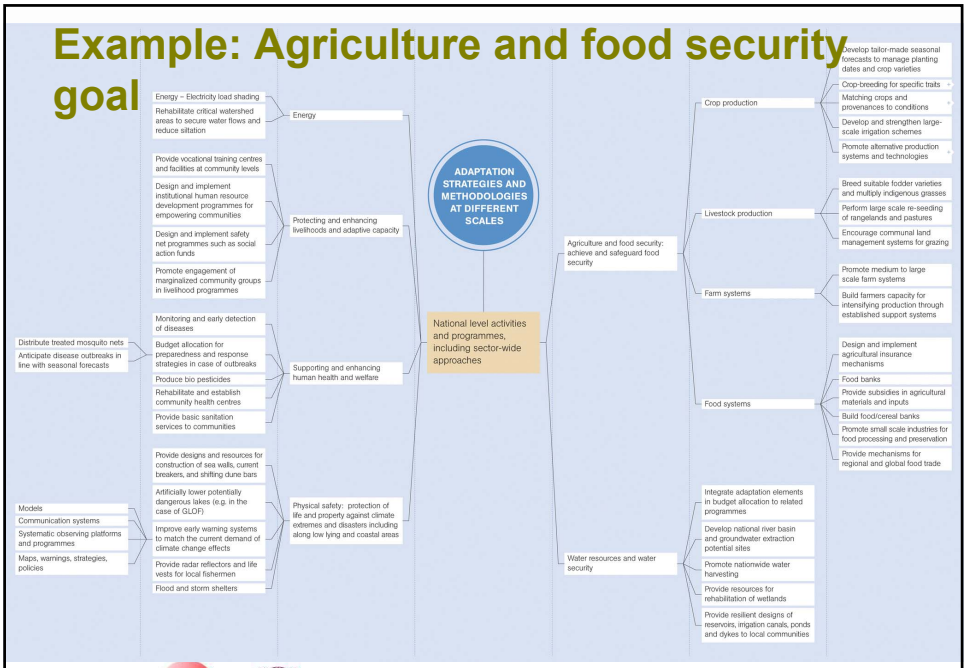
Example: Agriculture and food security goal



Example: Agriculture and food security goal



Example: Agriculture and food security goal



Defining the adaptation component

- Given understanding of current system, need to define how climate change is likely to have an impact
  - Based on current climate variability and recent observed changes (in broad terms!)
  - And general projections for climate change for region
- Need to identify entry point for the system so can quantify outcomes of project intervention!
- Propose to focus on socio-economic/adaptation goal, rather than specific activities (e.g. focus on “Sufficient/improved local food production to ensure food security at community” as opposed to “implementing micro-irrigation at community level”

Available resources for Agriculture and Food Security

- FAO – Agroecological zone analysis: data, models, projects for all countries
- UN Millennium Project: the food security component
- Many other agriculture agencies have studied the issue for many decades – lots of resources
- **CGIAR system – Best Bets for achieving food security (see presentation and handout)**

Additional LEG resources

- LEG has the examples in the Step-by-Step Guide – more resources will be made available on LDC Portal at www.unfccc.int/ldc
- More resources being assembled to support the design of projects in all the 10 Adaptation Goals, with a strong link to existing resources including from the implementing agencies
- Ideas welcome on how to improve these resources

Fact Sheet

Key adaptation options in the agriculture and food security

Overview

Given the high vulnerability of rural communities in most countries, appropriate adaptation strategies in the agriculture and related rural development sectors are of utmost importance.

Food security in developing countries relies to a large extent on rain-fed and subsistence agriculture. Food production and farming systems will have to cope with changing climate patterns, such as increased droughts, floods, and serious changes in precipitation cycles, affecting planting calendars and crop choices. In addition to water scarcity and increased climate variability, natural resources such as soil and plants will need to be more carefully managed, taking climate risks into account.

A wide range of options are available to adapt the rural development sector including agriculture to climate change and the resulting challenges:

Water conservation and harvesting

"Water conservation" is an essential component to ensure long-term water resources in a given region or ecosystem. Water conservation has to apply to all sectors but will be essential in agriculture. Conservation applies to the types of irrigation systems used, the recycling of water for agricultural use, and, often, the varieties of crops, plants and trees planted that are, for example, drought tolerant or requiring shorter growing seasons and are thereby more resilient.

"Water harvesting" describes a wide range of techniques and methods. Water harvesting can be applied at the farm and field level as part of (often traditional) planting and soil preparation methods ('bund', 'zai', etc.) or at the community level where rain water catchment systems can be applied.

- Water conservation techniques include: drip irrigation systems, use of 'grey' water (recycled or treated wastewater); switching to drought tolerant varieties and/or crops; introduction of agroforestry systems.

- Water harvesting techniques include: small scale water/dew capture through terracing; use of stone bund systems; run-off capture; large scale harvesting through rain water capture in basins and different kinds of catchments.

Fact Sheet

Adapted and enhanced crops and adapted agricultural tools

About sixty percent of food crops grown today come from rain-fed agricultural systems and rain-fed agriculture covers 80% of the world's cultivated land.[1] With decreasing water resources in many agricultural regions and less predictability of weather patterns, there is a need for adapting food production systems to these new and changing conditions.

Adapting and enhancing crops has been a fundamental feature in traditional farming systems where crop varieties were matched as much as possible to the conditions of the given ecosystem. In field (in-situ) crop enhancement through seed selection allowed for gradual adaptation to drought conditions and/or changing growing seasons. However, while many farmers in developing countries have been relying on these techniques, they are no longer sufficient to achieve a better ratio for crop yield to hectare that is needed to satisfy the increasing demand for food. New, higher-yielding crop varieties for the major food crops such as rice, wheat, maize are constantly being developed and tested in gene banks and research stations (ex-situ). Many of these newer, high-yielding varieties, however, require more and predictable water resources and often will not produce adequately in conditions of extreme weather conditions and/or high weather variability.

For regions with serious water stress, either permanent or seasonal, efforts are focusing on drought tolerant crop varieties or those with shorter growing cycles that at the same time produce good yields.

Agricultural tools and techniques also require adapting to the new conditions. In addition to the introduction of adapted and enhanced crops, improved soil preparation and water management will be of great importance. Tools and techniques focusing on soil preparation and enhancement include:

- Methods to improve the nutrient content of the soil (e.g. mulching, composting)
- Diversifying and intercropping appropriate crops,
- Introduction of agro-forestry where suitable to enhance soil quality and moisture retention,
- Use of low or no-tillage for improved moisture retention, terracing to limit erosion.

Other important agricultural tools involve the development of better guidance and extension systems to support rural communities, including:

- drought and flood early warning systems

[1] WWDR3, ch.7,p.105pp.

- dynamic agricultural calendars
- local agricultural research (improved varieties)

Integrated farming systems, rangeland management, income diversification

Traditional farming systems, focusing on subsistence for families and communities, were based in diversity depending on the respective ecosystem. Agricultural production would rely in different crops and their varieties, often forest products, fish ponds, animal husbandry, etc. These integrated farming system have protected farming communities in times of weather variabilities and emergencies, such as droughts and floods. In many regions farming communities and pastoralists and rangeland managers shared water resources and the two systems were mutually beneficial. With demographic shifts and technological modernization farming systems have also changed in many countries with trends towards commercial farming systems, where cash crop production has outstripped local food production, or specialization and mono-cropping of preferred crops to the detriment of variety and stability in the face of weather variabilities. Integrated farming systems and negotiated land use agreements between farmers and pastoralists have gained in importance as communities and countries need to adapt to climate change.

- Diversification of agricultural production
- Establishing natural resource and water sharing between pastoralists and farmers in dryland regions
- Researching or identifying income diversification such as food processing, farmers' markets and trade arrangements, cereal and seed banks, etc.
- Increased use of tree planting as part of integrated farming systems

Index-based insurances

Small-scale farmers and poor rural communities are most at risk in the face of climate change impacts. To reduce the risks for small farmers requires tools that can adjust to climate variability and underpin other adaptation strategies. Approaches are being explored for insurance schemes for farmers that can provide them with some security for their livelihood in extreme weather conditions. One such insurance scheme is establish a rainfall index and to link any payout to a shortfall below the agreed level. Crop levels are also agreed and incentives are built into the system. When rainfall is below the level needed and will cause crops to fail, insurers will pay out to farmers within days or weeks. Thus farmers do not need to sell assets to survive, which can make them dependent on aid long after the drought has ended. By using index insurance to protect against massive losses during major droughts, farmers are able to put resources into being productive in good years instead of being limited by the low productivity of rare bad years.

THEMATIC DISCUSSION 2: KEY ADAPTATION OPTIONS FOR COASTAL AREAS

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Goal of the discussion

- To discuss aspects of vulnerability and adaptation options in coastal zones
- To provide an opportunity for countries to share their experience on implementing adaptation options in coastal areas

IPCC 4th Assessment Report: Africa conclusions

- By 2020, between 75 and 250 million people exposed to an increase of water stress due to climate change;
- Yields from rain-fed agriculture reduced by up to 50% by 2020;
- 12-15% of the existing agricultural land in the Nile delta lost due to sea level rise;
- Decreasing fisheries resources in the large lakes due to temperature increases;
- By 2100, agricultural losses of between 2 and 7% of GDP in parts of the Sahara.

Global Climate Change - Coasts

This affects coastal areas in various ways, for example:

•Storms and changing climate leading to floods and damage to infrastructure and people;

•Rising sea levels. Higher temperatures cause ocean volume to expand, and melting glaciers and ice caps add more water;

•Saltwater intrusion in depleted coastal aquifers

•Changes in fish populations and distribution.

Global Climate Change - Coasts

- Globally, the average sea level rose by 10 to 20 cm during the 20th century;
- An additional increase of 18 to 59 cm is expected by the year 2100.
- Coasts are already experiencing the adverse consequences of climate change and sea-level rise.
- Coasts will be exposed to increasing risks and erosion over coming decades.
- The impacts are made worse by increasing human-induced pressures.
- Impacts are likely to be most extreme for poor countries and poor communities.

- West Africa considered especially vulnerable.

Adaptation Measures

- Beach and dune nourishment: generally repeatedly brining in sands from another place
- Offshore reefs (low breakwaters)
- Set back: undeveloped areas (basically, create a buffer zone and allow it to be eroded slowly)
- Controlled abandonment. Where losses are not too quick. Means basically relocation of communities
- Breakwaters
- Seawall
- Building Standards
- Structural Shoreline Stabilisation (Management practice involving strategic placement of plants, stones, sand fill and other materials to achieve the dual goal of long-term protection/restoration/enhancement of shoreline habitats and the maintenance of natural processes)

Adaptation Measures (cont'd)

Others:

- Awareness raising
- Wetland protection
- ICZM
- Payments For Ecological Services (Financial instruments under which beneficiaries of ecosystem services compensate the suppliers as a means to fund sustainable environmental management policies and actions)

And for fisheries:

- Better studies of situation
- Fewer permits
- Protection of spawning areas

Cross-cutting challenges in coastal adaptation

- Lack of data and of the technical means to acquire it (equipment, treatment facilities)
- Lack of comprehensive and enforced land use plans
- High cost of protective structures
- High social cost of relocation

Many of these challenges can be addressed through NAPA implementation

- Data, scientific capacity and infrastructure to a certain extent
- Capacity building for development of land use plans and ICZM frameworks
- Awareness raising
- For larger works, the LDCF projects can be combined to larger sources of funding

Fact Sheet

Key Adaptation Options in Coastal Zones and River Basins

Overview

In many countries coastal zones are the most heavily populated area. They also represent many ecologically sensitive areas, and contains much of the economic development infrastructure, such as ports, fisheries and tourism. Coastal and marine ecosystems are vulnerable to rapid deterioration due to a combination of anthropogenic and natural factors.

Coastal zones are also recognized for their rich biodiversity and for the reproduction and raising of maritime and terrestrial fauna, as well as sea birds (fish-spawning, feeding, growth, rest and refuge, etc.). Mangroves, for example, have traditionally protected coastal regions in many countries both in terms of their physical function (anti-erosion, protection against storms, etc.) and their ecological function.

Flooding in low altitude zones, coastal land erosion, and siltation of major water bodies are on the increase in many areas. These hazards are also increased due to potential sea level rise, which increases salt-water intrusion in aquifers and low-lying water bodies, impacting freshwater availability. This in turn can result in displacement of populations, contamination of potable water sources and threatening the means of subsistence of the coastal populations, limiting the development options of the countries where the coastal zones contribute considerably to the economy.

Increasing awareness of climate change impacts on coastal zones is leading to demands for mainstreaming climate change considerations into any new policies and management structures concerned with coastal zone development.

Integrated coastal zone management

Integrated coastal management can take different forms depending on the local conditions and infrastructures. All relevant economic sectors have to be included both in the planning and the monitoring and evaluation stages. Involvement of local affected population has been shown to be of prime importance, both in terms of awareness building and of strategy development and implementation.

- Assessment of current coastal zone conditions: environmental, economic, demographic
- Assessment of impending climate change vulnerabilities due to sea-level rise and higher ocean temperature
- Establishing multisectoral planning and coordination group to guide the development of plans and programs

Fact Sheet

- Awareness raising initiatives for local populations, policy makers and industry sector representatives
- Integration of climate change information and knowledge into other development planning processes (mainstreaming)

Integrated coastal zone management provides a useful framework for integrating various sectors and creating a legal and regulatory framework that promotes coastal integrity and resilience. Because the costs of adaptation in coastal zones can be high, particularly after the damages are felt, integrated coastal zone management also promotes a preventative approach. Other interventions to adapt to climate change in coastal zones include:

- Limiting beach dredging and sand extraction in coastal areas
- Preventing development in low-lying areas
- Undertaking coastal rehabilitation works (beach nourishment, reforestation, etc…)
- Building retention infrastructures (sea walls)

Protecting fragile coastal ecosystems

The impact of sea level rise on coastal region is known to be serious and short term, as well as long term measures have to be taken to adapt countries' coastal zones to these conditions.

Protecting coral reefs and mangroves is a primary and urgent strategy. They acts as buffer barriers protecting coastal communities and low lying areas from storms, tides, cyclones and storm surges and have important social and cultural importance. Replanting of mangroves and protecting and revitalizing coral reefs will be a short term measure with long term beneficial impacts. Among other short term measures are, for example, replanting of appropriate and adapted plant and tree species; protecting the existing coastline through barriers and other measures; reducing overfishing, in particular of vulnerable species.

- Assessment of conditions of mangroves and coastal reefs in preparation of revitalization strategies
- Building appropriate barriers to protect coast line in the short term
- Reviewing and revising fisheries policies to reduce overfishing and to protect fish and other sea species vulnerable to climate change
- Reduce pollution of coastal zone water resources
- Public awareness campaign to educate local populations, policy makers and others at to the need for urgent action in the protection of coastal zones in light of impending sea level rises.

THEMATIC DISCUSSION 3: KEY ADAPTATION OPTIONS IN CLIMATE RISK MANAGEMENT AND EARLY WARNING SYSTEMS

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Background

- Vulnerability to climate change is determined by acomplex interplay of natural and human processes.
- The extent to which climate impacts will be felt in a given place is not only a factor of exposure. It is often determined by demographic, economic and social factors.
- Climate monitoring is of pivotal importance in order to devise proper responses to these challenges.
- Adequate and timely meteorological data could provide the basis for the development of resilient sectoral policies and strategies.
- Functioning early warning systems and disaster preparedness protocols serve greatly in reducing losses from extreme climate events

Climate Risk Management

- CRM is an approach to climate-sensitive decision making that involves proactive 'no regrets' strategies.
- CRM is not a new approach: rural communities have been managing climate-related risks as part of their daily lives for centuries
- Need to integrate aspects of climate risk management into regular development planning processes to avoid adverse impacts from climate shocks and climate change

Early Warning Systems

- The objective of early warning systems is to get the right information to the right people at the right time, so that appropriate decisions can be made and damages can be averted
- Key elements of functioning early warning systems include:
  - Adequate climate data collection infrastructure
  - Agreed methodologies and indicators
  - Functioning communications infrastructure
  - Agreed emergency declaration procedures
  - Pre-established response mechanisms
  - Multi-sectoral coordination at all levels

Challenges and Opportunities

- **Challenges**
  - Large gaps in scientific knowledge and in global, regional and national observations
  - Inefficient communication channels (between regional and national, or national and local levels)
  - In face of variable scenarios, it is difficult to determine “no-regrets” policies
- **Opportunities**
  - Regional collaboration helps create economies of scale (e.g. CILSS) for forecasting and warning
  - NAPA implementation can help kick-start the implementation of early warning systems and integrate climate risk management in planning

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Fact Sheet

Key Adaptation Options in climate risk management and early warning systems

Overview

Climate change is already having a negative impact, a reality that requires governments to invest more in developing adaptation measures to respond to the natural and economic risks associated with climate change, according to the World Meteorological Organization (WMO).

Vulnerability to climate change is determined by the complex interplay of natural and human processes. The extent to which climate impacts will be felt in a given place are often determined by land use patterns, demographic pressures and movements, governance systems, access to markets and the availability of alternative coping mechanisms, and poverty levels, to name just a few. Reducing vulnerability often means addressing these root causes as a matter of priority so as to support local resilience.

Climate monitoring is of pivotal importance in order to devise proper responses to these challenges. Weak meteorological systems in most developing countries hamper the development of realistic home-grown adaptation strategies. Yet adequate and timely meteorological data could provide the basis for the development of resilient sectoral policies and strategies, in sectors such as agriculture and water, health and tourism. Similarly, it has been found that functioning early warning systems and disaster preparedness protocols served greatly in reducing losses from extreme climate events.

Early Warning Systems

Better precipitation forecasts, hazard maps and early warning systems are crucial to reduce impacts and assist decision-makers in their respective sectors like food security, water management, health care and tourism. The objective of early warning systems is to get the right information to the right people at the right time, so that appropriate decisions can be made and damages can be averted.

In order to be truly effective in reducing risk and vulnerability, early warning systems must be multifaceted in the way they analyze data as well as in the responses they include.

Key elements of functioning early warning systems include:

- Adequate climate data collection infrastructure
- Agreed methodologies and indicators
- Functioning communications infrastructure

- Agreed emergency declaration procedures
- Pre-established response mechanisms
- Multi-sectoral coordination at all levels

Early warning systems may be calibrated to watch and respond to a single climate hazard, or could be combined into a more comprehensive disaster risk reduction framework. In addition, other indicators can be added into the mix so as to provide more elaborate warning, as is the case for food security-based early warning systems, which combine climate and socio-economic indicators in order to prevent famine.

Climate Risk Management

Climate risk management is an approach to climate-sensitive decision making that involves proactive 'no regrets' strategies aimed at maximizing positive and minimizing negative outcomes for communities and societies in climate-sensitive areas. The 'no regrets' aspect of CRM means taking climate-related decisions or action that make sense in development terms anyway, whether or not a specific climate threat actually materializes in the future.[1]

Climate Risk Management is by no means a new approach: rural communities have been managing climate-related risks as part of their daily lives for centuries. However, in the face of climate change, these coping strategies are likely to become insufficient, mostly because the risk and severity of climate shocks will rise, or because there will be less predictability. There is a need to integrate aspects of climate risk management and climate change into regular development planning processes, so as to ensure that climate shocks and longer-term climate changes do not adversely impact on development gains.

[1] International Research Institute for Climate and Society, 2007, p. 10.

FIELD VISIT

UNFCCC LDC Expert Group (LEG)

Training materials on implementation of NAPAs

Objectives

- Provide a practical, on-the-ground illustration of adaptation needs and options
- Provide an opportunity to discuss adaptation with local-level stakeholders
- Illustrate challenges and opportunities in translating local aspirations into adaptation projects

Plan

- The field visit will take us to XXXX.
- This site illustrates XXXX vulnerabilities.
- We will have an opportunity to see and meet XXXX.

Food for thought

- Try to imagine how you would reflect the needs of the communities in a typical adaptation project
- Try to make the difference between needs that could be covered by “baseline” and those that would represent the additional adaptation dimension.
- Can you think of specific aspects of vulnerability at the site?
- Are there any different solutions you would propose?

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Training Package - Annotated Outline

Element	Summary
Day 1 - Setting the Stage	
Introduction	Objectives and structure of the training session.
Setting the Scene	The LDC work programme, progress updates and the synthesis of NAPA key vulnerabilities and needs (common points, themes, projects).
Adaptation funding and the GEF	Presentation highlighting the options for Adaptation Funding and in particular the LDCF (funding, modalities of access, project cycle) <u>Q&A</u>
	<u>BREAK</u>
Round Table	This section would dedicate some time, either in plenary or in smaller groups for round table discussions related to specific issues raised by participants. Participants will be asked to bring their project documents, ideas, along with any issues they would like addressed.
	LUNCH
Strategies for NAPA Implementation	- Updating and revising NAPAs - The need for an adaptation strategy (long-term vision for NAPA) - Key decisions: NAPA teams, implementation agencies and partnerships, - Options for implementing NAPAs (projects vs. programmes, single Agency vs. partnerships, and implications for longer-term) - Framing adaptation goals and objectives. <u>Discussion</u> on experiences in formulating (explicit or implicit) implementation strategies
5. Practical session	<u>Group work</u> The group will be divided in 3 or 4 groups, depending on the number of participants. Each group will be given a country case study and will be tasked with: a) deciding on key aspects of an implementation strategy b) selecting Implementing Agency(ies) and partners c) Identifying baseline activities
Day 2 – Preparing for Implementation	
	<u>Review of previous day's practical session</u>
Formulating	Key issues in moving from NAPAs to the implementation strategy, to the

concrete funding proposals	formulation of concrete funding packages - Understanding basic requirements - Early decisions in project design - Guiding principles in identifying baseline activities and additional adaptation needs
Designing a PIF	Key issues involved in designing a PIF a) Main elements in the PIF b) PIF approval process and common hurdles and opportunities c) Collaboration with Agencies during PIF design d) Differences in PIF design according to selected implementation strategy
	BREAK
Round Table	Presentation by one country on their experience in designing the PIF. This presentation could cover elements explored during Days 1 and 2 related to the design of implementation strategies, project choices, agency selection, as well as the technical aspects related to the development of the PIF. To be followed by open exchange on experiences in PIF design.
	LUNCH
Thematic discussion 1	Theme: key adaptation options in the agriculture and rural development sectors
	BREAK
Practical session	Group work The group will once again be divided into smaller groups with the task of moving from the implementation strategy to the packaging of adaptation development goals into the main elements of a PIF (concept framework and activities).
Day 3 – Designing Projects	
	Review of the previous days' working session and questions.
Thematic discussion 2	Theme: Key adaptation options in coastal areas
The Preparatory Phase	The project preparation phase: key issues encountered during the preparatory phase, including: - Defining needs for preparatory phase (differences according to selected implementation strategy) - PPG management, including coordination, project development team management
	BREAK
Round Table	Presentation by a country highlighting their experience during the PPG phase, followed by exchange and discussion
Moving towards the final project	Key issues faced during development of the GEF project document. This would include

document	- key features of various agencies requirements for project documents - differences in project design according to the implementation strategy. - Common expectations in project design - Opportunities and potential hurdles - Co-financing for NAPA LDCF projects
	LUNCH
Practical session	This working session would be continued from Day 2, but would add the development of the Results and Resources Framework.
Day 4 – Broadening the Scope	
Thematic discussion 3	Theme: Key adaptation options – Climate risk management and early warning systems
Broadening the Scope	Discussion on ongoing efforts to scale up adaptation efforts, as well as the means and mechanisms for linking NAPAs to national planning processes. This would include an overview of potential synergies between adaptation activities and other MEAs, regional synergies and potential for collaboration, as well as other elements of the LDC work progamme.
	BREAK
Country Team Work – Round Tables	During this working session, country teams will have an opportunity to work together to develop their implementation strategy for the NAPA, and determine their next steps.
	LUNCH
Closing and Way Forward	This session would consist in an overall summary of the topics covered during the 5 days, summarize lessons learned, and discuss a path forward. A short questionnaire for evaluation of the training session will be distributed.
Field trip to be decided with host	

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Praticipants Background Form

Name:…….. Country: ……

A. National Adaptation Programme of Action (NAPA):

1. Preparation:

……
……
……
……

2. Implementation:

……
……
……
……

B. Other climate change activities:

1. National communications:

……
……
……

2. National capacity self assessment:

……
……

3. Technology needs assesment:

……
……

C. Key national programmes:

1. PRSP / EPRS:

……
……
……

2. Others:

……
……
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……
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……
……

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Pre-Workshop Questionnaire

Kindly answer the following questions so that we may adapt the workshop to your concerns

Name:…….. Country: ……

1. Please provide a summary of your country's NAPA, as follows:

   a. Expected climate change impacts
      ……
      ……
      ……
      ……
      ……
      ……

   b. Vulnerable sectors
      ……
      ……
      ……
      ……
      ……
      ……

   c. Priority Adaptation options (3)
      ……
      ……
      ……
      ……
      ……
      ……

   d. Number of priority projects and total required resources for implementation
      ……
      ……
      ……

2. How is the NAPA anchored in your country's development planning? Please provide links to key development frameworks.

……
……
……
……
……

3. Is your NAPA currently under implementation? If yes, please provide a short summary of the project(s) being implemented:

……
……
……
……

4. Did you, or are you experiencing challenges in moving your NAPA towards implementation? If so, please explain:

……
……
……
……

LDC Workshop on National Adaptation Programmes of Actions

Evaluation Questionnaire

Kindly fill in this questionnaire at any time during or after the close of the workshop.

1. How satisfied were you with:

	Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very Dissatisfied
- The materials and documentation	☐	☐	☐	☐
- The contents of the workshop	☐	☐	☐	☐
- The format of the workshop	☐	☐	☐	☐
- The facilitation	☐	☐	☐	☐

	YES	NO
Do you feel you are now better equipped to implement your NAPA?	☐	☐

Comments:

2. What did you find most useful about the workshop?

3. What did you find least useful?

LDC Workshop on National Adaptation Programmes of Actions

Evaluation Questionnaire

4. Did the workshop provide an opportunity for you to share your concerns and experiences about NAPA implementation?

5. What, if any, new understandings, skills or insights will you leave with?

6. What, if any, follow up actions would you suggest, by the LEG or others?

Thank you

UNFCCC LDC Expert Group (LEG)
LDC workshops on implementation of NAPAs

Additional Materials

Sample Terms of Reference for Consultants

Terms of Reference

1. Provide project background and need for consultancy, for example:

The project will build institutional capacity for monitoring, predicting and planning for adaptation to climate change throughout the country. This will be done by increasing the capacity for early warnings, response systems and national planning.

A number of intermediary steps are needed before completing the full project documentation. Resources are needed to complete the collection and compilation of appropriate project baseline data from existing documentation, as well as the development of logframes, timelines and targets, and a monitoring and evaluation plan for adaptation activities. In addition, during the development of the project concept, a limited number of knowledge gaps were identified. Studies of a technical nature are needed in order to determine the best technical options or best available technologies applicable to achieve the desired outcomes. A short Project Preparation Phase (PPP) is therefore needed to fill these information gaps and to compile information into a consolidated project document. The proposed preparation activities will cover four components: scientific and technical assessments, participatory needs assessments, financial planning and the development of the project document and set up. The end-product of this Project Preparation Phase (PPG) will be a (name Agency, e.g UNEP) Project Document.

The end-product of this preparatory phase will be a UNEP Project Document using prescribed templates. The document will be reviewed against the UNEP and GEF review criteria to be considered satisfactory prior to completion of the PPG. The PPG will be guided by the *Goal*, *Objective,* and *Outcomes* of the approved PIF.

The services of an **International Consultant** (IC) are needed to assist in the coordination of preparatory activities and compilation of information towards completion of the full project document for submission to the GEF. The IC will work closely with the national consultants, whose role is to lead the in-country work of developing national ownership of the project. He/she will work on direct supervision of the project focal point and UNEP Task Manager.

2. Indicate specific tasks and expected outputs or services, for example:

Tasks that the IC will be responsible for include:

1. Provision of advice and technical inputs to the project team on key outputs of the project preparatory phase, which would feed into the preparation of the comprehensive project proposal.
2. Provision of quality control of the outputs of the project preparatory phase to the standard required by UNEP.
3. Contribution to the preparation of national workshops, including the inception workshop, and other activities in the project preparatory phase, in line with the project document requirements of the Global Environment Facility (GEF).
4. Preparation of a comprehensive project proposal which should comprise:

a. Clear description of baseline activities and related sources of financing;
b. Explicit specification of all adaptation activities to be financed under the LDCF and their adaptation rationale (why and how are they supposed to reduce vulnerability and/or increase adaptive capacity beyond what is already being done including justification in terms of economic benefits, cost effectiveness);
c. Clear description of the geographic focus of the project activities;
d. Clear description of the expected roles and responsibilities among different stakeholders (national sub-national and regional authorities, different ministries and institutions, and UNEP, considering the comparative advantages).
e. Clear description of the project management and implementation structure
f. Definition of goal, objective, outcomes, outputs and related indicators;
g. Logframe and description of a Monitoring and Evaluation (M&E) system including impact indicators and a costed M&E Plan. These indicators, which will tend to focus on capacity, institutional strengthening and policy formulation and specifically address adaptation relevant impacts;
h. Total budget and work plan:
i. Stakeholder Involvement Plan during the design, validation, implementation, and M&E Components.
j. Endorsement letters from the government and letters confirming co-financing commitments

5. Completion of an inception report and the report of the project preparatory phase.
6. Work with local climate consultants and user groups to develop the proposal for improved climate information services for development planners.
7. Any remedial work required by UNEP based on internal and GEF reviews of the project document.
8. Synthesis of the lessons learned following completion of the preparatory phase.

The Consultant will work in close collaboration with the National Consultant (NC) who will lead the in-country work for the PPG phase as well as other consultants to be hired. He/She will work under the direct supervision of (name supervision) focal point for the project and UNEP.

3. State required qualifications, for example:

Qualifications

Candidates must demonstrate the following qualifications and experiences

- *Education, e.g.*: Masters degree in environment, economics, development, or a closely related field
- Knowledge, e.g.: Technical knowledge of the implications of climate change on development, finance, environment and other relevant fields is critical.
- *Experience, e.g*: A minimum of X years relevant work experience.
- Demonstrated solid knowledge of climate change adaptation or development.
- Demonstrated experience in project development, implementation or management. Experience in GEF project formulation as well as in UNEP project implementation requirement is highly desirable.
- Experience in the policy development process associated with environment and sustainable development an asset.
- *Language, e.g*: Experience in working and collaborating with governments an asset.
- Excellent knowledge of English including writing and communication skills.

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Additional Materials

The following was developed by the United Nations Development Programme (UNDP) and can be used to create a Monitoring and Evaluation Framework

Project Level Monitoring Examples for Climate Change Adaptation projects

In Tables 4-9, hypothetical project outcomes are associated with standard indicators representing coverage, impact, sustainability and replicability. Indicators that should be applied across all outcomes to address perceived improvements in adaptive capacity and/or reduced vulnerability and lessons learned are listed in the final row for 'all outcomes', along with supplemental outcome indicators that should be employed as appropriate.

Example Project Level Outcomes and Indicators for TA1

TA 1. Agriculture/Food Security

Project Objective: Vulnerability of farmers and pastoralists to increased drought and rainfall variability reduced

Outcomes	Indicators	Indicator Type
1. Information from mid-term climate projections integrated into agriculture-related policies and climate forecasts integrated into agriculture-related planning on appropriate time scales	1.1 Number of agriculture-related policies, programmes and plans incorporating climate projections into their design (I.i from standard indicators table)	Coverage
	1.2 Percent change in policymakers' use of climate information in agriculture and fisheries policies and plans, assessed via survey (II.i)	Impact
	1.3 Narrative stakeholder description of the role of integrating climate projections into agriculture policies and plans in reducing vulnerability to drought and rainfall variability, assessed via qualitative survey (II.v)	Impact
2. Local level capacity enhanced through strengthened agriculture extension services for managing drought and rainfall variability[1], including the introduction or expansion of agricultural and pastoralism practices suited to anticipated climatic conditions	2.1 Number of farmers and pastoralists engaged in capacity development activities for drought and rainfall variability management (I.ii)	Coverage
	2.2 Percent change in stakeholders' capacities to make agriculture/pastoralism decisions based on climate information, assessed via survey (II.ii)	Impact
	2.3 Percent change in farmer and pastoralist use of climate-resilient processes, practices or methods for managing climate change risks, assessed via survey (II.i)	Impact

[1] Agriculture extension is suggested, but other forms of outreach and technical assistance to farmers/pastoralists may be more appropriate depending on the local context.

TA 1. Agriculture/Food Security

Project Objective: Vulnerability of farmers and pastoralists to increased drought and rainfall variability reduced

Outcomes	Indicators	Indicator Type
3. Climate risks integrated into design and decisionmaking for agriculture-related investments[2]	3.1 Number of agriculture-related investment design and decisionmaking processes incorporating climate change risks (I.iv)	Coverage
	3.2 Percent change in stakeholders' use of climate risk assessment methods for design and/or decisionmaking on agriculture-related investments, assessed via survey (II.ii) 3.3 Availability of skills and tools necessary to continue climate change risk assessments after conclusion of project, assessed via survey (III.ii)	Sustainability
All outcomes: 1 - 3	4.1 Percent change in vulnerability of food security to rainfall variability and/or drought, via perception-based stakeholder survey such as VRA[3] (II.iv)	Impact
	4.2 Availability of skills and resources necessary for farmers and/or pastoralists to sustain climate risk management practices beyond the end of the project's lifetime[4] (III.ii)	Sustainability
	4.3 Number of 'lessons learned' captured about reducing vulnerability of food security to drought and rainfall variability (IV.i)	Replicability
	4.4 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) platform and regional knowledge sharing efforts (IV.ii)	Replicability
	4.5 Food security deficits during periods characterised by climate extremes (e.g. drought or false start to wet season/extreme rainfall conditions), compared with deficits in previous years characterised by similar extremes (II.vi) OR 4.6 Food production or food security among project stakeholders (depending on data availability: predictability, ability to purchase food, or yields)[5] (II.vi)	Impact (development outcome)

[2] This should be specified based on the project context, e.g., water supply, storage, distribution and irrigation investments or seed or grain storage facilities, farm technologies, etc.

[3] Vulnerability Reduction Assessment (VRA) is a type of qualitative survey in which vulnerability factors are determined through stakeholder consultations, and stakeholders rate their vulnerability on a scale of 1-10 at the beginning, periodically throughout the project or programme, and at the end. Food security in relation to drought may vary from household to household, but the VRA approach allows the comparison of perceived changes despite this variability in terms or unit or % change in vulnerability scores.

[4] Indicator can be tailored to the project emphasis, for example on technical know-how, new institutional arrangements, availability of supporting resources, etc.

[5] Two options are listed, depending on whether or not climate variability during the monitoring timeframe

allows indicator 4.5 to be measured. If climate extremes are not encountered, annual data should be tracked and compared to historic averages.

Example Project Level Outcomes and Indicators for TA2

TA 2. Water Resources and Quality

Project Objective: Enhanced capacity to plan for and respond to future reductions in renewable water supplies in a region where water stress is increasing (an area-based adaptation project/programme)

Outcomes	Indicators	Type
1. Water demand and supply management improved through climate-resilient policies and plans	1.1 Number of policies, plans, and programmes introduced or adjusted to improve water supply and demand management based on the incorporation of projected climate change risks and climate information (I.i)	Coverage
	1.2 Percent change in policymakers' and planners' use of processes or methods to develop supply and demand management policies and plans that integrate climate change projections of water resources impacts (II.i)	Impact
	1.3 Stakeholder perceptions of sustainability of climate-resilient policy and planning processes, assessed via survey (III.iii)	Sustainability
	1.4 Percent change in use of information management systems for monitoring climatic variables for climate-resilient water resources planning (II.iii)	Impact
2. Institutional capacity strengthened to integrate climate change information into water resources management, including strengthened channels for cross-sectoral/ministerial communication and management, e.g. with public health and disaster management bodies	2.1 Number of stakeholders (e.g. national bodies, state and local institutions, and community organizations) engaged in capacity development activities for adaptation and water resources management (I.i)	Coverage
	2.2 Percent change in stakeholders' capacities to capture, communicate, analyse, interpret, disseminate and apply climate change information in water sector management (II.ii)	Impact
4. Local level capacity enhanced to cope with climate change impacts on water resources (e.g. adopting better-adapted water management practices)	3.1 Number of stakeholders (e.g. communities, households, community-based organizations) engaged in capacity development activities for climate change risk management in water resources	Coverage
	3.2 Percent change in stakeholders' use of adaptation practices for managing local water resources, assessed by survey	Coverage
	3.3 Number of project beneficiaries involved in capacity development for implementation of specific adaptation measures or decision-support tools	Impact
All outcomes: 1 – 3	4.1 Percent change in capacity to adapt to climate-related water stress, via perception-based stakeholder survey such as VRA (II.iv)	Impact
	4.2 Narrative stakeholder description of the role of integrating climate change risk assessment and adaptation into water resources management in reducing vulnerability to water stress, assessed via qualitative survey (II.v)	Impact
	4.3 Availability of skills and resources necessary for institutions and local stakeholders to sustain climate-resilient water resources management beyond the project or programme's lifetime (III.ii)	Sustainability

TA 2. Water Resources and Quality

Project Objective: Enhanced capacity to plan for and respond to future reductions in renewable water supplies in a region where water stress is increasing (an area-based adaptation project/programme)

Outcomes	Indicators	Type
	4.4 Number of 'lessons learned' codified about managing water resources to cope with increasing climate-related stress and scarcity (IV.i)	Replicability
	4.5 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) platform and regional knowledge sharing efforts (IV.ii)	Replicability
	4.6 Change in renewable water resources per capita[6] (II.vi)	Impact (development outcome)

[6] Other quantitative development outcome indicators should be considered.

Example Project Level Outcomes and Indicators for TA3

TA 3. Public Health

Project Objective: Enhanced capacity of health sector to anticipate and respond to changes in distribution of endemic and epidemic climate-sensitive diseases in areas at risk from expansion of climate-related diseases.

Outcomes	Indicators	Type
1. Disease eradication and prevention measures implemented in emerging and epidemic risk areas at appropriate scales (institutional or household, national or local)	1.1 Number of stakeholder groups involved in implementing disease eradication and prevention measures (I.ii) 1.1 Population covered by disease eradication and prevention measures (I.v)	Coverage
	1.2 Percent change among public health institutions and/or community groups' behaviours utilizing processes, practices, or methods for managing climate change risks through the design and implementation of public health measures, assessed via survey or other evidence (II.i)	Impact
	1.3 Number of stakeholders involved in capacity development activities in the application of specific adaptation decision-support tools/methods for disease prevention/eradication measures (III.i)	Sustainability
2. Climate information integrated into public health monitoring systems in areas prone to geographical expansion of disease ranges or changes in disease incidence (including the integration of information across sectors)	2.1 Number of stakeholders (health agencies, related bodies) engaged in the design and implementation of integrated climate and public health monitoring systems (I.ii) 2.1 Number of stakeholders served (or area covered) by expanded, integrated public health information management systems (I.iii)	Coverage
	2.2 Percent change in stakeholders' capacities to communicate climate change risks and disseminate public health information to public health bodies based on climate information, assessed by vulnerability qualitative survey (II.ii)	Impact
3. Capacity enhanced to address climate-related health risks in development policies and programmes (e.g. sanitation, land-use, etc.) through integrated scenario planning and policy assessment	3.1 Number of development policies, programmes or investment decisions that incorporate climate change risks and public health vulnerability to climate-sensitive diseases (I.i)	Coverage
	3.2 Percent change in stakeholders' capacities to analyse policy decisions using climate change scenarios, assessed via qualitative survey (II.ii)	Impact
	3.3 Percent change in use of climate change scenarios for planning and policy assessment, assessed via qualitative survey or other evidence (II.ii)	Impact
All Outcomes: 1 - 3	4.1 Narrative description of the role of project interventions in improving capacity to adapt to a recurrence of primary climate change-related threats to public health, assessed via qualitative survey (II.v)	Impact
	4.2 Percent change in stakeholder perceptions of capacity to adapt to a recurrence of health-related climate change risks (II.iv)	Sustainability

TA 3. Public Health

Project Objective: Enhanced capacity of health sector to anticipate and respond to changes in distribution of endemic and epidemic climate-sensitive diseases in areas at risk from expansion of climate-related diseases.

Outcomes	Indicators	Type
	4.3 Number of lessons learned relevant to adaptation and public health codified (IV.i)	Replicability
	4.4 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) platform or with other regional stakeholder groups beyond the project (IV.ii)	Replicability
	4.5 Infection rates as related to climate-sensitive diseases, as percentage of population infected per year (III.vi)	Impact (development outcome)
	4.6 Extent of diseases in epidemic areas during periods when climatic conditions favour epidemics, compared with previous such episodes (III.vi)	Impact (development outcome)

Example Project Level Outcomes and Indicators for TA4

TA 4. Disaster Risk Management

Project Objective: Enhanced resilience of settlements and landscapes to increases in the frequency of climatic extremes (focusing on increasingly frequent extreme rainfall events and their impacts through climate-resilient planning and land management).

Outcomes	Indicators	Type
1. Disaster prevention and response improved through updated and expanded DRM policies and plans that incorporate climate change risks and incentivize lower-risk development	1.1 Number of DRM plans, policies, and programmes incorporating climate change risks and vulnerability (I.	Coverage
	1.2 Percent change in stakeholders' capacities to interpret climate change information for DRM planning purposes, assessed by QBS	Impact
	1.3 Percent change in the use of climate change scenarios and/or relevant projections (e.g. streamflow, extreme precipitation events, etc.) in DRM processes	Impact
2. Information management including early warning systems for floods and landslides strengthened to incorporate climate information and communicate risks effectively for disaster prevention	2.1 Number of stakeholders served by new or expanded climate information management systems (e.g. early warning systems)	Coverage
	2.3 Percent change in stakeholders' capacities to communicate climate change risks, disseminate information, or make DRM decisions based on timely information, as assessed by QBS	Coverage
	2.2 Percent change in use of/performance of information management systems	Impact
3. Capacity developed at the local level to implement climate-related disaster prevention measures, such as improved settlement construction, livelihoods protection, and/or land and water management practices	3.1 Number of stakeholders involved in implementing climate-related disaster risk reduction measures.	Coverage
	3.2 Number or risk-reducing practices/measures implemented to support adaptation of settlements, livelihoods and/or resource management	Coverage
	3.3 Percent change in stakeholders' use of adjusted practices or methods for managing climate change risks (such as construction, livelihoods protection, or land/water management practices), assessed via QBS or other evidence	Impact
	3.3 Perceived change in disaster response capacity, assessed by disaster planners (QBS)	Impact
4. All Outcomes: 1 - 3	4.1 Percent change in stakeholder perceptions of capacity to adapt to a recurrence of disaster-related climate change risks	Impact
	4.2 Narrative description of the role of project interventions in improving capacity to adapt to a recurrence of primate climate change-related disasters.	Impact

TA 4. Disaster Risk Management

Project Objective: Enhanced resilience of settlements and landscapes to increases in the frequency of climatic extremes (focusing on increasingly frequent extreme rainfall events and their impacts through climate-resilient planning and land management).

Outcomes	Indicators	Type
	4.3 Perceived ability to sustain interventions implemented by the project beyond the end of the project's lifetime, based on knowledge acquired and availability of skills and resources. **(III.iii)**	Sustainability
	4.4 Number of 'lessons learned' codified about reducing climate change risks through DRM	Replicability
	4.5 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) platform and regional networks.	Replicability
	4.6 Incidence of complex disasters (e.g. flooding, landslides) associated with climatic extremes (e.g. heavy rainfall) compared with recent historical experience of baseline projections.	Impact (development outcome)
	4.7 Losses resulting from disasters (e.g. mortality, injury, property or infrastructure lost or damaged) compared with recent historical experience or projected baseline.	Impact (development outcome)

Example Project Level Outcomes and Indicators for TA5

TA 5. Coastal Zone Development		
Project Objective: Reduced vulnerability of coastal systems through policy integration, capacity development of communities, and integrating climate change risk management practices into investment decisions.		
Outcomes	**Indicators**	**Type**
1. Climate-related risks (e.g. SLR, coastal erosion, storm surge) systematically integrated into coastal development zoning policies and procedures	1.1 Number of policies and plans relating to coastal development adjusted to incorporate climate change issues (I.i)	Coverage
	1.2 Narrative description of the role of integrating climate change information into zoning policies in reducing vulnerability to storm surge, assessed via survey (ii.v)	Impact
	1.3 Number of professionals involved in capacity development for the use of climate change information in policy processes (III.i)	Sustainability
2. Capacity enhanced among coastal communities to reduce losses from storm surge through the deployment of an EWS	2.1 Number of communities served by the EWS (I.iii)	Coverage
	2.2 Number of stakeholders engaged in capacity development activities to reduce vulnerability to coastal risks (I.v)	Sustainability
	2.3 Percent change in stakeholders' capacities to respond to EWS (II.iii)	Impact
3. Climate-related risks incorporated into decisionmaking for insurance and investments	3.1 Number of insurance and investment decisions incorporating climate change risks (I.iv)	Coverage
	3.2 Percent change in behavior of insurance and investment bodies to utilize climate risk criteria in due diligence procedures (II.i)	Impact
	3.3 Percent change in stakeholder perceptions of vulnerability of investment or insurance portfolios to climate change, assessed via survey (II.iv)	Impact
All Outcomes: 1 – 3	4.1 Perceived ability to sustain interventions implemented by the project beyond the end of the project's lifetime, based on knowledge acquired and availability of essential resources (III.iii)	Sustainability
	4.2 Number of 'lessons learned' codified about managing climate change risks through coastal management as a result of the project (IV.i)	Replicability
	4.3 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) platform and other regional networks (IV.ii)	Replicability

TA 5. Coastal Zone Development		
Project Objective: Reduced vulnerability of coastal systems through policy integration, capacity development of communities, and integrating climate change risk management practices into investment decisions.		
Outcomes	**Indicators**	**Type**
	4.4 Losses resulting from coastal disasters (human welfare (mortality, injury), economic (losses or infrastructure damage), or environmental (shoreline erosion)) compared with recent historical experience or projected baseline (II.vi)	Impact (development outcome)

Example Project Level Outcomes and Indicators for TA6

TA 6. Natural Resources Management

Project Objective: Natural resource management and livelihood development programmes incorporate climate change information to increase the capacity of resource-dependent communities to adapt to climate change.

Outcomes	Indicators	Type
1. Environmental management programme revised on the basis of scenario planning to reduce pressure on natural resources at risk from climate change, and to promote resilience of productive ecosystems to climate change	1.1 Number of planners and policymakers involved in capacity development activities related to interpreting climate change information in natural resource management (I.ii)	Coverage
	1.2 Policy options developed to reduce anthropogenic pressures on natural resources and ecosystems (I.i)	Coverage
	1.3 Percent change in stakeholders' capacities to make resource management decisions based on climate information (II.ii)	Impact
2. Improved access to alternative income generating activities among resource dependent communities	2.1 Number of households engaged in alternative income generating activities (I.ii)	Coverage
	2.2 Stakeholder perceptions of the sustainability of alternative climate-resilient income generating activities (III.iii)	Sustainability
	2.4 Percent change in natural resource dependent population with access to alternative or supplementary livelihood options, assessed via survey (II.ii)	Impact
3. Capacity enhanced to implement sustainable natural resources management	3.1 Percent of population in relevant areas engaged in sustainable community management activities (I.v)	Coverage
	3.2 Number of measures deployed as part of sustainable resource management activities (I.v)	Coverage
	3.4 Percent change in stakeholders behaviours to manage local resources sustainably (II.i)	Impact
All Outcomes: 1 – 3	4.1 Perceived ability to sustain interventions implemented by the project beyond the end of the project's lifetime, based on knowledge acquired and availability of essential resources (III.ii)	Sustainability
	4.2 Number of 'lessons learned' about natural resource management in the context of climate change as a result of the project (IV.i)	Replicability
	4.3 Number of 'lessons learned' disseminated through the Adaptation Learning Mechanism (ALM) project (IV.ii)	Replicability
	4.4 Decline in natural resources (area, density, quality) relative to projected baseline (II.vi)	Supplemental (impact)

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Additional Materials

Sample Results Framework*

Narrative summary	Performance indicators	Means of verification	Assumptions and risks
Goal: Contribute to poverty reduction, increased incomes, enhanced food security and improved living conditions of the target populations	- Index of households' goods - Nutritional situation of children under 5 yeas	- Baseline studies and surveys - PRSP studies and surveys - Project completion report - Final evaluation report	- Stable socio-political and economic context - Complementarity with other national and sectoral programmes and projects - Coherent policies for financing rural populations
Components and outputs			
1. Improve the enabling rural microfinance environment	- ANEMCAM has designed a handbook on good behaviour and deontology for MFIs - -ANEMCAM participates in the approval and exclusion of MFIs - Number of legislative, accounting, fiscal and regulatory texts issued on rural microfinance and published on the MINFI website - Number of meetings and activities to disseminate the above-mentioned texts to MFIs - The National Microfinance Committee has issued an action plan for the development of rural microfinance	- ANEMCAM activity report and minutes of meetings - Monitoring reports of MINADER and MINFI - Activity reports of MINFI - ANEMCAM activity report, as well as midterm review and completion reports - Activity report of National Microfinance Committee, as well as midterm review and completion reports	- The capacity of ANEMCAM is strengthened - Members of ANEMCAM pay their dues - The National Microfinance Committee holds regularly its meetings financed by Government and it plays its role - MINFI receives needed resources to finance its activities
2. Improve access of the target groups to financial services adapted their needs in a sustainable and cost-effective manner	- Number of MFIs operating in rural areas has increased - Number of MFIs strengthened with equipment and training - The volumes of savings and credits have increased (disaggregated by gender) - Number of types of credit and saving proposed to target groups. - Number of members and borrowers of existing and new MFIs has increased (disaggregated by gender) - Increase in the repayment rate of loans - Increase in the volume of refinancing from commercial banks	- Activity report of ANEMCAM and project M&E - Project supervision, midterm review and M&E reports - Activity reports of MFIs strengthened and database of MFIs - Activity reports of MFIs strengthened and project M&E report - Activity reports of MFIs strengthened and project M&E - Activity reports of MFIs strengthened and project M&E - Activity reports of MFIs, commercial banks and project M&E	- Membership conditions and financial products are adapted to the needs of the target groups - MFIs adapt to the needs of the target groups - Service providers exist and their service is of good quality - Good cooperation between MINADER and MINFI - Staff of PMU is selected on the basis of established criteria

* from IFAD project document