Module 3: Accessing financial resources for the implementation of NAPA

3.1. Introduction to the GEF and the LDCF

LEG training workshops for 2012-2013
- Francophone LDCs workshop
In this module

Where are we?

Module 1: Setting the stage
Module 2: Implementation strategies for the NAPA
Module 3: Accessing financial resources for implementation of NAPA
  3.1. Introduction to the GEF and the LDCF
  3.2. Formulating funding proposals
  3.3. PIF, PPG, and CEO endorsement processes
  3.4. Adaptation cost and co-financing
  3.5. Latest development on the GEF-LDCF procedures
  3.6. Accessing resources under the AF
Module 4: Best practices and lessons learned
Module 5: Tracking progress, monitoring and evaluation
Module 6: Tracking progress, M&E
Module 7: The NAP process

CASE STUDIES + REGIONAL INPUTS

Learning points:

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

Guiding questions:

• How to access resources from the LDCF for implementing NAPA?
• What are the criteria to select an implementing agency?
The GEF in the context of the LDCF

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


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

a) Established in 2001, as a voluntary fund, to be managed by the GEF, and to support LDCs to:

- Prepare and implement NAPAs;
- Implement elements of the LDC work programme other than the NAPAs;
- Enable activities for the preparation of the NAP process (new)

b) Current status:

- Has received pledges totalling USD 605.85 million, of which USD 585.52 million has been paid, as at January 31, 2013;
- NAPAs indicate the need for at least USD 2 billion for their full implementation;
- Each LDC can currently access up to USD 20 million based on equitable access;
- USD 370 million has so far been allocated for preparing and implementing NAPAs. Of this, USD 114 million has been transferred to the agencies for implementation;

c) Further information on the LDCF:

- GEF LDCF website, <http://www.thegef.org/gef/LDCF>;
- Latest GEF publication on “Accessing resources under the LDCF”;
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<tr>
<th>Country</th>
<th>GEF ID</th>
<th>Project type</th>
<th>Project name</th>
<th>Status</th>
<th>Grant Amount</th>
<th>Preparation</th>
<th>Agency fees</th>
<th>Total Grant</th>
<th>Co-financing</th>
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**Accessing resources under the LDCF**

**Requirements:**

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

**SUMMARY OF THE PROCESS AND KEY CONCEPTS**

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

GEF agencies

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

Selecting a suitable agency for implementing NAPA

a) The comparative advantage of the agency (GEF/C.31/5):
   - Institutional role and core functions;
   - Actual capacity, expertise and experience to implement GEF projects;
   - Ability to ensure delivery and management of projects through field presence or well-established contact networks at the national or regional level; and
   - Overall performance in implementing projects.

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

c) Working relations with the agency:
   - Many countries have reported that good working relations with an agency at the country level can lead to a very positive interaction and smooth implementation of NAPA projects (BP+LL Volume 1).
Flow of procedures and processing for the PIF for LDCF projects

*Complete steps of the LDCF project cycle available on flyers

Submission | PIF Clearing | Review period | Allocation of fund

- Submission of PIF by LDC country
- Decision of the GEF Secretariat
- Posting of PIF on GEF website
- Review of PIF by LDCF/SCCF Council

Review sheet and official decision sent to implementation agency (-ies)

PIF considered during the bi-annual LDCF/SCCF Council meetings

Reservation of proposed project funding during the full project development

Latest developments: programmatic approach

- Funding under the LDCF has largely focused on pilot projects to demonstrate how adaptation can be addressed practically on the ground in LDCs;

- With the growing financing levels, and to shift in funding structure for adaptation under the GEF, countries can now pursue programmatic approaches in implementing their NAPAs;

- **Programmatic Approach (PA)** – a program of projects with common objectives, aiming to achieve economies of scale and sustainability, improved horizontal and vertical integration, and greater opportunities to leverage partnerships and co-financing. Delegation of project approvals to eligible Agencies, such as the MDBs
In addition to the elements to be considered in a PIF, Program Framework Documents should provide adequate information of the following:

- **Added value of PA**: does the program present opportunities to address the enabling environment, local investments and cross-cutting elements in a more comprehensive way than is currently possible through individual projects? What are the economies of scale?
- **Partnerships**: does the PFD identify relevant partners? How will they contribute to the objectives of the program?
- **Knowledge management**: how will best practices and lessons be shared among partners/countries/projects within the program and beyond?
The GEF Secretariat is currently in the process of developing its next Strategy for 2014-2018. It will draw upon the previous experience on NAPA implementation, focusing on core areas such as: Agriculture and Food Security, Water Resources Management, Coastal Zone Management, Infrastructure (cities and transport), Disaster Risk Management, Natural Resource Management, Information systems (including hydrometeorological/climate systems), and health.

New Mechanisms for Innovation will emphasize:
- Private Sector Engagement
- Risk Transfer and Insurance
- Preparing the ground for medium and long-term adaptation

Expanding cross-focal area synergies:
- Climate-resilient urban systems
- Ecosystem-based adaptation
- Small Island Developing States
The strategy will be in line with the GEF’s long term vision, also under development.

GEF’s long-term vision will emphasize:

- Innovation;
- Scaling up;
- Long-term adaptation;
- Synergies and partnerships, and
- Knowledge management.

These themes will be applied across all programming in the GEF’s core areas of intervention.
Latest developments: National Adaptation Plans

- UNFCCC COP at 18 session requested the GEF to provide funding from the Least Developed Countries Fund [LDCF] to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan [NAP] process.

- The COP further invited developed country Parties to further contribute to the LDCF and the SCCF to support the activities for the preparation of the national adaptation plan process.

- The LDCF/SCCF Council, at its 13th session requested that “the GEF Secretariat prepare a paper for the next Council meeting on how the GEF will operationalize support to enable activities for the preparation of the [NAP] process.

- GEF Secretariat will carry out consultations with Council members and other relevant stakeholders between February and April 2013.
Latest developments: synergies with other GEF funds

- GEF-5 projects may seek funding under several trust funds, including the LDCF and the SCCF.
- Multi-trust fund projects may allow projects to capture economies of scale, and to foster integration across sectors, across national strategies and policies, and across environmental conventions.
- While a single project may utilize resources from different trust funds, it should do so in line with the mandate and eligibility criteria of each fund and funding window.
- To date, the LDCF/SCCF Council has approved some USD 22 million in LDCF grants towards six multi-trust fund projects (in Chad, Ethiopia, Malawi, Mali, Rwanda and Togo).
Module 3: Accessing financial resources

3.2. Accessing resources under the LDCF - Formulating funding proposals

LEG training workshops for 2012-2013
- Anglophone LDCs workshop
In this module

Where are we?

Module 1: Setting the stage
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  3.2. Formulating funding proposals
  3.3. PIF, PPG, and CEO endorsement processes
  3.4. Adaptation cost and co-financing
  3.5. Latest development on the GEF-LDCF procedures
  3.6. Accessing resources under the AF
Module 4: Best practices and lessons learned
Module 5: Tracking progress, monitoring and evaluation
Module 6: Tracking progress, M&E
Module 7: The NAP process

Learning points:

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

Guiding questions:

• How to access resources from the LDCF for implementing NAPAs?
• What are the criteria to select an implementing agency?
Initial steps

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

b) Mapping to national development goals:
   - Environmental, social and development goals;
   - Applicable national sector-wide approaches;

c) Stakeholder involvement:
   - Consistent with the GEF’s Public Involvement Policy (GEF/C.7/6);

d) Selection of a GEF agency/agencies:
   - Comparative advantage;
   - Agency’s experience on the area;
   - Working relations.
Defining project objectives and results

a) **Objective(s):**
   - Reduce vulnerability to the adverse impacts of climate change;
   - Increase adaptive capacity to respond to the impacts of climate change;
   - Promote transfer and adoption of adaptation technology;

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

a) Areas to look at:

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

Baseline activities that could count towards co-financing:

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

All of the above can be in cash/grant, loan, soft-loan, or in-kind.
Resources (available and needed)

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

b) Institutional capacity:
   - Structures, systems, policies, regulations, committees, and roles;

c) Human capacity:
   - Staff, skills, facilities;

d) Tools:
   - Data, information, models, consumables, etc....
Monitoring and evaluation

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

Module 3: Accessing financial resources

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

LEG training workshops for 2012-2013
- Francophone LDCs workshop
In this module

Learning points:

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

Guiding questions:

- How to access resources from the LDCF for implementing NAPA?
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CASE STUDIES + REGIONAL INPUTS
The PIF – main elements

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

i. **Consistency:** with GEF LDCF strategies, with national strategies;

ii. **Project overview:**
   - **Vulnerabilities and risks:** NAPA, national communication, other sources;
   - **Anthropogenic amplifiers:** e.g. land use patterns, natural resource usage;
   - **Activities needed to address the vulnerability/risks:** interventions;
   - **Baseline scenario:** existing policies, plans, programmes;
   - **Additional cost:** adaptation versus business as usual costs;

iii. **Socio-economic benefits:** including other factors such as gender;

iv. **Potential risks and barriers and measures to address them;**

v. **Stakeholder involvement;**

vi. **Coordination with other related initiatives;**

vii. **GEF agency’s comparative advantage.**
PPG phase

1. To enable the provision of resources for the development of a full project document:
   - Mainly human and technical resources;
   - Limited consultations, data and information collection.

2. Common activities during the full project document development include:
   - Project site selection;
   - Technical feasibility;
   - Institutional analyses;
   - Stakeholder consultations, including local communities;
   - Physical baseline assessments;
   - Project documentation;
   - Co-financing confirmations;
   - Final implementation arrangements;
Full project document

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

- Project framework;
- Sources and actual amounts of funding;
- Project justifications, links, and additional cost reasoning;
- Monitoring and evaluation plan;
- Implementation plans
GEF results-based management framework for LDCF projects

a) Used to measure progress and results of the project;

b) Focuses on monitoring and evaluation:
   - Monitoring – provides information on where a programme/project is at any given time relative to respective targets and outcomes;
   - Evaluation – give evidence of why targets and outcomes have or have not been achieved by determining the relevance, impact, effectiveness, efficiency and sustainability of interventions and contribution of involved partners;

c) It uses programme/project baseline, targets, indicators, and means of verification;

d) Factors measured in programmes/projects:
   - Coverage;
   - Efficacy;
   - Sustainability;
   - Replicability.
Adaptation Monitoring and Assessment Tool (AMAT)

- Flexible tool – pilot phase.

- Agencies are only required to choose at least two outcome indicators and two output indicators per one or more strategic objective targeted in the project.

- Agencies can include their own indicators (for Outcome 1.2; Output 1.2.1)

- Once core indicators are selected at CEO Endorsement, projects will fill in the baseline and expected target level for each indicator.
GEF results-based management framework for LDCF projects

Example results framework from Project: Adapting Agricultural Production in Togo

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

• Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level

• Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level

• The outcome and output indicators are selected and described in the Adaptation Monitoring and Tracking Tool (AMAT)

• AMAT is supposed to be submitted with the CEO Endorsement, at mid-term stage of the project, and at the end of the project.

• AMAT shows the following values: baseline, desired target, and progress made at mid-term and end.

[brief demonstration of the AMAT]
GEF criteria for approval of LDCF projects

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

i. **Eligibility** of the project for funding under the LDCF;

ii. **Agency’s comparative advantage**;

iii. **Resource availability** under the LDCF;

iv. **Project consistency** with the LDCF strategies, national strategies, sustainability;

v. **Project design**: baseline, cost-effectiveness, additional cost reasoning, sound framework, methodology and assumptions, socio-economic benefits, stakeholder participation, potential risks, synergy, implementation arrangements;

vi. **Project financing**: budget justification, co-financing;

vii. **Project monitoring and evaluation**: tracking tools, M&E plan;

viii. **Agency responses** to comments.
References


2. GEF, 2008. Results-based management framework for LDCF and SCCF. GEF/LDCF.SCCF.5/3;


Module 3: Accessing financial resources

3.4. Adaptation cost and co-financing

LEG training workshops for 2012-2013
- Francophone LDCs workshop
In this module

Learning points:

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

Guiding questions:

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

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CASE STUDIES + REGIONAL INPUTS
Adaptation cost in the context of the LDCF

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

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

Sources include:

- Main national development plans, programmes and activities;
- National policies on key sectors;
- Poverty reduction policies;
- Economic growth strategies and national investment budgets;
- Governance policies (i.e. decentralization);
- Scientific and technical investments (data infrastructure);
- Disaster preparedness plans;
- Development partner strategies, plans and projects.
**EXEMPLE 1 COFINANCEMENT ET COUT DE L’ADAPTATION DANS UN SCENARIO DE DEVELOPPEMENT NORMAL**


<table>
<thead>
<tr>
<th>SCÉNARIO DE BASE / NORMAL</th>
<th>AVEC CHANGEMENT CLIMATIQUE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DESCRIPTION DU PROBLÈME</strong></td>
<td><strong>LE CHANGEMENT CLIMATIQUE DEVRAIT DIMINUER LES RESOURCES EN EAU DISPONIBLES ET RENVOYER LE NIVEAU DE LA MER DANS CETTE ZONE DE FAIBLE ALTITUDE, CE QUI ENTRAÎNERA LA SALINISATION DU SOIL ET DE L’EAU ÉPURATION DES EAUX SALINES. POUR RÉSOUTRE CE PROBLÈME, LE GOUVERNEMENT A DEMANDE À L’ENTITÉ D’ÉXÉCUTION D’INTEGRER LES CONSIDERATIONS LIÉES À L’ADAPTATION AU CHANGEMENT CLIMATIQUE AU PROJET D’IRRIGATION.</strong></td>
</tr>
<tr>
<td><strong>COMPOSANTES DU PROJET</strong></td>
<td><strong>L’INTÉGRATION DES CONSIDERATIONS LIÉES AU CHANGEMENT CLIMATIQUE POURRAIT DÉTOURNER LA CONCEPTION, UNE CONSTRUCTION ET UNE EXPLOITATION À L’ÉPREUVE DU CLIMAT, QUI INVERSERAIENT AVEC DES QUANTITÉS SUFISSANTES D’EAU POUR CONTRER LES EFFETS DU CHANGEMENT CLIMATIQUE, A PLANIFIER ET HÉRITISER PAR LES MISES À L’IRRIGATION TENANT COMPTE DES CONSIDERATIONS LIÉES AU CHANGEMENT CLIMATIQUE, ET À DIMENSIONNER LE SYSTÈME DE TÉLÉPHONIQUE À SATISFAIRE LA DEMANDE DE PEAU DURANT LES MOIS D’ÉTÉ ENVISAGÉS SUR LA BASE DES SCÉNARIOS DE L’ÉVOLUTION DU CLIMAT. (€ 3 MILLIONS)</strong></td>
</tr>
<tr>
<td>Composante n°1 : Programme de conception, de construction et d’exploitation d’un système d’assainissement en eau de surface (205 millions de dollars).</td>
<td>Composante n°1 : Programme de conception, de construction et d’exploitation d’un système d’assainissement en eau de surface (205 millions de dollars).</td>
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<tr>
<td>Composante n°2 : Appui technique aux propriétaires de petites et moyennes exploitations agricoles grâce aux mécanismes de marché. (2 millions de dollars)</td>
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<th>COÛT</th>
<th>COÛT DU SCÉNARIO DE DÉVELOPPEMENT NORMAL</th>
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<tbody>
<tr>
<td>FINANCÉ PAR :</td>
<td>BM/DM, pays-donateur, ministère de Ressources en eau et de l’irrigation</td>
</tr>
<tr>
<td>« FINANCIEMENT »</td>
<td>Fonds pour les PMA</td>
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</tbody>
</table>

« RENSEIGNEMENTS RELATIFS AU PROJET POUR LA SIP »

« FINANCIEMENTS DU FONDS POUR LES PMA »
Example of co-financing

**Country:** Togo

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

### A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK

<table>
<thead>
<tr>
<th>Focal Area Objectives</th>
<th>Trust Fund</th>
<th>Indicative Grant Amount ($)</th>
<th>Indicative Co-financing ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CCA-1 (select)</td>
<td>LDCF</td>
<td>7,600,000</td>
<td>77,650,100</td>
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<tr>
<td>CCA-1 (select)</td>
<td>LDCF</td>
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<tr>
<td>CCA-2 (select)</td>
<td>LDCF</td>
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<td>11,700,700</td>
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**Total Project Cost** 8,932,420 106,370,000

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

<table>
<thead>
<tr>
<th>Sources of Co-financing</th>
<th>Name of Co-financier</th>
<th>Type of Co-financing</th>
<th>Amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>GEF Agency</td>
<td>African Development Bank</td>
<td>Hard Loan</td>
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<tr>
<td>GEF Agency</td>
<td>African Development Bank</td>
<td>Grant</td>
<td>79,150,000</td>
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**Total Co-financing** 106,370,000

2. UNFCCC, 2009. Step-by-Step guide for the implementation of national adaptation programmes of action;
Module 3: Accessing financial resources

3.5. Latest developments on the GEF-LDCF procedures

LEG training workshops for 2012-2013
- Francophone LDCs workshop
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Learning points:

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

Guiding questions:

• How to access resources from the LDCF for implementing NAPA?
• What are the criteria to select an implementing agency?
Programmatic approach for NAPAs

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

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

- le Fonds pour les PMA doit appliquer un principe d’accès équitable des pays les moins avancés Parties à un financement pour la mise en œuvre des programmes d’action nationaux aux fins de l’adaptation

- le principe de l’accès équitable s’est traduit par le concept d’accès équilibré:
  - les financements pour la mise en œuvre des PANA seront disponibles pour tous les PMA
  - non accordés par ordre d’arrivée (ce qui risque de favoriser les pays ayant des capacités au détriment des PMA les plus vulnérables)

- le plafond du financement au titre du Fonds pour les PMA s’établit à 20 millions de dollars

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


2. GEF, 20XX. Strategy on adaptation to climate change for the LDCF and the SCCF;
Module 3: Accessing financial resources

3.6. Accessing resources under the Adaptation Fund

LEG training workshops for 2012-2013
- Francophone LDCs workshop
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CASE STUDIES + REGIONAL INPUTS
About the Adaptation Fund

a) **Established** in 2001:
   - To finance concrete adaptation projects and programmes in developing countries that are parties to the Kyoto Protocol and are particularly vulnerable to the adverse effects of climate change;

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

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

d) **Further information**:
Eligibility criteria for projects and programmes under the AF

i. Consistency with national sustainable development strategies, including, where appropriate, national development plans, poverty reduction strategies, national communications and national adaptation programmes of action and other relevant instruments, where they exist;

ii. Economic, social and environmental benefits from the projects;

iii. Meeting national technical standards, where applicable;

iv. Cost-effectiveness of projects and programmes;

v. Arrangements for management, including for financial and risk management;

vi. Arrangements for monitoring and evaluation and impact assessment;

vii. Avoiding duplication with other funding sources for adaptation for the same project activity;

viii. Moving towards a programmatic approach, where appropriate.
Operational modalities

Country endorsement:

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

Financing windows:

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

Eligibility countries:

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

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

Fiduciary Standards:
- Financial integrity and management;
- Institutional capacity;
- Transparency and self-investigative powers;
Accreditation process

1. NIE nominated by Party; For MIEs, the AFB issues a call for expression of interest

2. Submission of accreditation applications to the Secretariat by potential NIEs and MIEs

3. Reviewing of applications by the Secretariat for completeness

4. Accreditation Panel review the applications and provides recommendations to the AFB

5. Review and approval by the AFB
Capacity development needs for direct access

GIZ’s experience:¹

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

¹ GIZ, 2011. Capacity development for direct access to climate finance - experience gained through GIZ’s support work for national institutions. GIZ internal discussion paper.
Adaptation Fund project cycle

1. Submission of a fully developed project document to the AFB Board through the NIE/MIE chosen by the government
2. Screening of the proposal by the Secretariat for consistency
3. Review by the Projects and Programmes Review Committee
4. Review and approval of small-size projects and programmes
5. Approval of the proposal by the AFB
6. Posting of approved proposals on the AF website
7. Disbursement of funds
8. Monitoring, evaluation and review

Small-size projects and programmes follow a one-step process. Regular projects and programmes may follow a two-step process, the first of which in the submission, review and approval on an initial project concept.
<table>
<thead>
<tr>
<th>Country</th>
<th>Project title</th>
<th>Approved amount (Million USD)</th>
<th>Implementing entity</th>
<th>Approval date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cambodia</td>
<td>Enhancing climate resilience of rural communities living in protected areas of Cambodia</td>
<td>4.954</td>
<td>UNEP</td>
<td>June 2012</td>
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<tr>
<td>Djibouti</td>
<td>Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities in Djibouti</td>
<td>4.659</td>
<td>UNDP</td>
<td>June 2012</td>
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<tr>
<td>Mauritania</td>
<td>Enhancing resilience of communities to the adverse effects of climate change on food security in Mauritania</td>
<td>7.803</td>
<td>WFP</td>
<td>June 2012</td>
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<tr>
<td>Tanzania</td>
<td>Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in Tanzania</td>
<td>5.008</td>
<td>UNEP</td>
<td>December 2011</td>
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<tr>
<td>Samoa</td>
<td>Enhancing resilience of Samoa’s coastal communities to climate change</td>
<td>8.732</td>
<td>UNDP</td>
<td>December 2011</td>
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<tr>
<td>Madagascar</td>
<td>Promoting climate resilience in the rice sector</td>
<td>5.105</td>
<td>UNEP</td>
<td>December 2011</td>
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<td>Eritrea</td>
<td>Climate change adaptation programme in water and agriculture in Anseba region</td>
<td>6.521</td>
<td>UNDP</td>
<td>March 2011</td>
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<tr>
<td>Solomon Islands</td>
<td>Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security</td>
<td>5.534</td>
<td>UNDP</td>
<td>March 2011</td>
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<tr>
<td>Senegal</td>
<td>Adaptation to coastal erosion in vulnerable areas</td>
<td>8.619</td>
<td>National implementing entity: Centre de Suivi Ecologique</td>
<td>September 2010</td>
</tr>
</tbody>
</table>
Country experiences

Experiences of Djibouti/ Mauritania/ Madagascar.