

## Adaptation to Climate Change

# The Least Developed Countries Fund: Review of the Implementation of NAPAs

Unedited

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# 1. Conclusions

## Background

1. As part of OPS5 the Independent Evaluation Office undertook an update of the Joint Least Developed Countries Fund (LDCF) evaluation undertaken with DANIDA (Danish International Development Assistance) in 2009. Quality-at-entry reviews of the 138 projects approved to implement National Adaptation Programmes of Action (NAPAs) were done to assess the extent to which they respond to key issues identified by NAPAs. Findings are reported in the first LDCF/Special Climate Change Fund (SCCF) Annual Evaluation Report.
2. The LDCF was established as a funding mechanism for LDCs, at its seventh Conference of the Parties (COP7) to access funding to prepare and implement their NAPAs. The GEF manages the LDCF. The LDCF supports the preparation and the implementation of the NAPAs. Eligible LDCs can then access funding from the LDCF to implement the immediate adaptation needs as specified in the NAPAs. Currently, 51 LDCs have accessed \$12.2 million to support the preparation of their NAPA. Cape Verde and Maldives have since graduated from LDC status. In December 2012, South Sudan officially became recognized as an LDC.<sup>1 2</sup>
3. NAPAs were established under article 4.9 of the United Nations Framework Convention on Climate Change (UNFCCC) to “provide a process for the Least Developed Countries to identify priority activities that respond to their urgent and immediate needs with regard to adaptation to climate change—those needs for which further delay could increase vulnerability or lead to increased costs at a later stage.”<sup>3</sup>
4. Through a country-driven and participatory approach, the NAPA process identifies adaptation needs of the country and prioritizes immediate needs for adaptation and list priority projects for funding. NAPA implementation projects therefore are expected to be closely aligned to their immediate needs as specified in the NAPA. Projects are accessing funds for adaptation needs such as agriculture and food security, disaster risk management, water resources management, natural resources management (NRM), health, climate information systems, coastal zone management, and infrastructure development.
5. The GEF Independent Evaluation Office in partnership with DANIDA conducted an evaluation of the LDCF “to analyze and document the results and lessons learned from the operations of the LDCF in financing and promoting climate change adaptation.”<sup>4</sup> The joint evaluation of the LDCF was completed in 2009. The purpose of the evaluation was to assess the results and lessons learned from the operations of the LDCF (including countries, agencies, donors, and Secretariat) in financing and promoting adaptation in LDCs.

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<sup>1</sup> South Sudan has not yet submitted a NAPA to the UNFCCC, but was approved to access LDCF resources for NAPA preparation in August 2013. Two of the NAPAs completed are by Cape Verde and Maldives, countries which are no longer classified as LDCs.

<sup>2</sup> GEF/LDCF.SCCF.15/03 (10/6/2013). Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund, LDCF/SCCF Council Meeting 2013.

<sup>3</sup> [https://unfccc.int/adaptation/workstreams/national\\_adaptation\\_programmes\\_of\\_action/items/7567.php](https://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7567.php).

<sup>4</sup> GEF Evaluation Office and DANIDA. 2009. Evaluation of the operation of the Least Developed Countries Fund for Adaptation to Climate Change.

6. At that time of the joint evaluation of the LDCF, the fund was still in its first phase and grants to beneficiaries only covered the development of NAPAs. Since then the LDCF has proceeded into a new phase of funding concrete adaptation activities. Currently, of the 50 countries that had completed their NAPAs, 48 have accessed a total of \$726.3 million for country projects that address urgent and immediate adaptation needs. To date, cumulative pledges to the LDCF amount to \$878.9 million, of which \$829.5 million has been committed.<sup>5</sup> In addition, a medium-size project (MSP) of \$2.2 million, aiming to support the preparation of the National Adaptation Plan (NAP) process in LDCs, was approved by the Global Environment Facility (GEF) Chief executive officer (CEO).<sup>6</sup> This study outlines the findings of a quality-at-entry review of 138 projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality.

7. The analysis used a total of 138 projects, representing 50 countries, approved to implement NAPAs, under the LDCF trust fund modality and is comprised of 130 full-size projects (FSPs) and 8 medium-size projects (MSPs).<sup>7</sup> NAPAs were assessed to determine key adaptation priorities as well as ranking of priorities. The primary adaptation priority/sector of each LDCF project was determined based on information from project documents as well as LDCF primary sector listings. The degree of alignment to NAPA priorities was based on the degree to which the project responded to the highest ranked priorities. The highest degree of alignment being that of addressing the highest ranked priority identified in the NAPA.

8. The evaluation also reviewed the overall relevance of the projects at design stage within the broader context of the NAPAs and LDCF criteria and priorities. This included alignment with other national priorities, as well as the degree of partnerships with key stakeholders, risk assessments (presence of risk assessment and mitigation strategy), and degree of gender based inclusion in adaptation activities at project design.

## Conclusions

9. **Conclusion 1: A large majority of the projects is aligned with their NAPA.** Fifty-eight percent of projects in the portfolio show very high alignment with the NAPA, i.e. that they address the highest priority identified in the relevant NAPA. None of the projects in the portfolio show little or no alignment with the relevant NAPA. Alignment to the NAPA was measured by the degree with which NAPA implementation projects responded to the priority adaptation needs listed in the NAPA. All projects are aligned to their respective NAPA with 58 percent showing a very high degree of alignment and 42 percent a high alignment, i.e. more than half of projects are aligned with their respective country's highest priority.

10. **Conclusion 2: Agriculture is the key adaptation issue in NAPAs.** Agriculture emerged as the key priority in the NAPAs submitted to the UNFCCC. Agriculture is listed as a key adaptation need in 96 percent of the NAPAs analyzed, followed by water resource management at 87 percent and NRM 78 percent each respectively. Thirty-two percent of NAPA implementation projects list Agriculture and food security as a primary priority. Only two projects list infrastructure development as a primary priority. Human health is not listed

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<sup>5</sup> Council Document GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

<sup>6</sup> <http://www.thegef.org/gef/LDCF> and Council Document GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

<sup>7</sup> The first phase of the review used a cohort of 51 projects having a 90 percent probability of being within a 10 percentage point of the results that the study found in the sample.

as a primary priority in any of the projects. At the regional level, 70 percent of projects from the Africa region indicated agriculture as their highest priority and 28 percent from Asia and 2 percent from the Latin American and Caribbean Region.

**11. Conclusion 3: All projects are found to be consistent with LDCF strategies, eligibility criteria, and priorities.** The NAPA implementation projects are also well aligned with other national development priorities, such as, National Adaptation Priorities (NAPs), National Biodiversity Strategies and Action Plans (NBSAPs), national communications to the UNFCCC, Technology Needs Assessments (TNAs), National Implementation Plans (NIPs), Poverty Reduction Strategy Papers (PRSPs), and national Planning Frameworks (NPF).

**12. Conclusion 4: NAPA projects are mainstreaming gender into adaptation initiatives.** Overall a high percentage of projects (82 percent) have a gender strategy. NAPA implementation projects are now increasingly using gender disaggregated indicators to measure progress, following the introduction of a results based management tracking tool that mandated the use of gender disaggregated indicators to measure progress on mainstreaming gender into adaptation measures in by the LDCF in 2010.

**13. Conclusion 5: A large majority of NAPA implementation projects included wide stakeholder involvement and are assessing risks.** Ninety-six percent of NAPA implementation projects included stakeholder involvement at project design, particularly with community based organizations (80 percent of the projects were planning at design to work with community based organizations [CBOs]). Projects are assessing risks and 95 percent of the projects included a mitigation strategy.

## 2. Context and Methodology

14. The recognition that the GEF has a role in financing adaptation to climate change goes back to the early guidance of the financial mechanism of the UNFCCC. It is reflected in the 1995 GEF Operational Strategy calling for a staged process of GEF support initially financing studies, assessments and capacity building, followed by financing the implementation of adaptation measures. After the establishment of the LDCF and SCCF in 2001 under the UNFCCC at COP7 the GEF was asked to manage the funds in its role as the financial mechanism. The LDCF was tasked with addressing the special needs of the Least Developed Countries (LDCs), specifically financing the preparation and implementation of National Adaptation Programs of Action (NAPAs). The SCCF supports adaptation and technology transfer in all developing country parties to the UNFCCC. As a precursor to operationalizing the funds the GEF established the Strategic Priority for Adaptation (SPA) to finance pilot adaptation projects that would demonstrate the practical and successful use of adaptation planning and assessment.

15. The joint evaluation found that overall, the LDCF had accomplished the main target of supporting preparation of NAPAs in the majority of the LDCs eligible for support from the fund. In 2010, DANIDA funded a follow-up review to assess the general effort and specific actions undertaken by the GEF LDCF Secretariat in response to the conclusions and recommendations presented in the evaluation report, and to provide an account of recent activities under the LDCF. The overall conclusion is that substantial efforts have been made in response to the recommendations. The capacity of the Secretariat had been increased with additional staff, guidance to LDCs on how to access the Fund had been produced, as well as new project monitoring tools. The follow-up recommended further work on the

implementation of NAPAs and encouraged donors and other stakeholders to follow these initiatives more closely.

16. This update of the LDCF evaluation conducted a quality-at-entry review of the 138 projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality. The findings and conclusion of the first phase of the update of the LDCF evaluation informed the final report of OPS5. The second phase of the evaluation continued the work and will be reported to the LDCF/SCCF Council in the Annual Evaluation Report 2013.

17. The key evaluation question is: Are the NAPA implementation projects aligned with the relevant NAPA in leading the country in the right direction in adaptation to the adverse effects climate change?

18. The 138 projects the evaluation team reviewed represented 50 countries and are comprised of 130 FSPs and 8 MSPs. Details are presented in the following sections on portfolio description. The projects analyzed were at different stages of approval and implementation. 38 were under implementation, 77 were Council approved, 12 CEO endorsed and 3 CEO approved, 5 PIF approved and only one project is near completion and has undergone a Terminal Evaluation (TE) in January 2014.<sup>8</sup> NAPAs were assessed to determine key adaptation priorities and ranking of priorities.

19. The primary adaptation priority/sector of each LDCF project was determined based on information from project documents and LDCF primary sector listings. The degree of alignment to the NAPA priorities in the relevant country was based on the degree to which the project responded to the highest ranked priorities. The highest degree of alignment being that of addressing the highest ranked priority identified in the NAPA of the relevant country. The evaluators also reviewed the overall relevance of the projects at design stage within the broader context of the NAPAs, and LDCF criteria and priorities. This included alignment with other national priorities as well as the degree of partnerships with key stakeholders. Attention was also given to gender issues and women as agents of adaptation. This entailed an assessment of the degree of inclusion of gender aspects to climate vulnerability at project design, which is a guiding principle for NAPAs.

20. Data was collected through:

- Literature review: a review of the relevant NAPAs as well as of LDCF documentation including relevant Council documents, policies, and procedures. All relevant and available evaluations conducted by the GEF Independent Evaluation Office, GEF Agencies, GEF partners, bilateral donors, and others were also reviewed.
- Quality at entry: an assessment of the quality at entry of projects that have been approved to implement NAPAs. This entailed a desk review of 138 projects assessing the extent to which they responded to key issues identified by NAPAs and to assess design quality. The analysis used a survey protocol (see annex 3) to undertake a desk review of the projects, to collect quantitative and qualitative data.

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<sup>8</sup> GEF ID 3219, UNDP, Bhutan: "Reducing Climate Change-induced Risks and Vulnerabilities from Glacial Lake Outburst Floods in the Punakha-Wangdi and Chamkhar Valleys." Terminal Evaluation January 2014.

## LDCF Portfolio Description

21. NAPA implementation projects can either be FSPs or MSPs. Under the LDCF funding modality, projects over \$2 million are referred to as FSPs; those of \$2 million or below are referred to as MSPs. At project design 94 percent of the NAPA implementing projects in the sample is FSPs, while MSPs represented 6 percent of the total.

22. NAPA implementation projects follow a streamlined approval process. Please see figure 2 for a description of the project approval process. Generally, the LDCF approval process for NAPA priority projects consists of the following two steps:<sup>9</sup>

- a. Project Identification Format (PIF) approval: PIFs can be submitted on a rolling basis. LDCF administration review of the PIF takes place within a maximum of ten days. Upon clearing for LDCF Council approval the PIF is posted on the GEF website for four weeks for review by the LDCF Council on a 'no objection basis.' Following clearance for Council approval, the project is eligible for a project preparation grant (PPG). Once the PIF is approved by the LDCF Council, the proposed funding is reserved.
- b. CEO endorsement requests: CEO endorsement requests can be submitted at any time no later than the date indicated in the PIF and approval letter. CEO endorsement requests, based on a fully developed project document, are reviewed and endorsed by the GEF Secretariat on a rolling basis. After a 10 day review period in the Secretariat, projects are either endorsed by the CEO (subject to four weeks of LDCF Council review), or returned to the relevant Agency with indication of issues preventing recommendation for CEO endorsement.

23. For FSPs, the general steps of the LDCF project cycle include submission of a PIF, including a project preparation grant if desired (PPG, this is optional) after which CEO clearance is required. Upon approval of the PIF by the CEO, the LDCF/SCCF Council approves the PIF and the GEF Agency then works with the Project Proponent to develop the project fully into a detailed Full Project Document (FPD). The Council reviews and approves the FPD and GEF CEO endorses the project, after which it is ready for implementation.<sup>10</sup>

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<sup>9</sup> GEF Evaluation Office and DANIDA. 2009. Joint External [Evaluation: Operations of the Least Developed Countries for Adaptation to Climate Change](#).

<sup>10</sup> Biagini, B and Dobardzic, S. 2011. Accessing Resources under the Least Developed Country Fund. Available at <http://www.thegef.org/gef/node/4433>.

24. MSPs are approved by the CEO and undergo a one step process for approval. If a Project Preparation Grant (PPG) is sought by the project proponent, an approved PIF is required for MSPs. A detailed FPD is submitted and if CEO approved implementation can begin. Figure 1 below shows the implementation status of the projects in the portfolio. More than half the projects (57 percent) are Council approved, indicating that only a PIF has been approved. 9 percent of the projects are CEO Endorsed and 2 percent CEO approved (this applies only to MSPs) and 28 percent are under implementation. Only 1 project is near completion and has undergone a Terminal Evaluation (TE) in January 2014.

**Figure 1: Percentage of Projects by Approval Status**

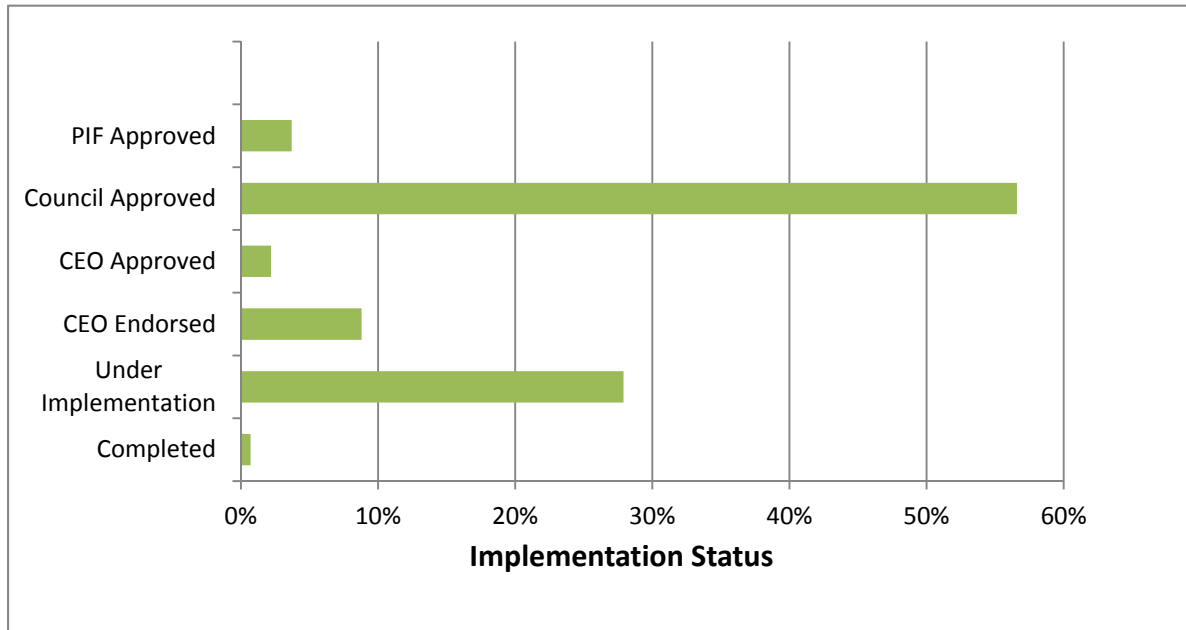
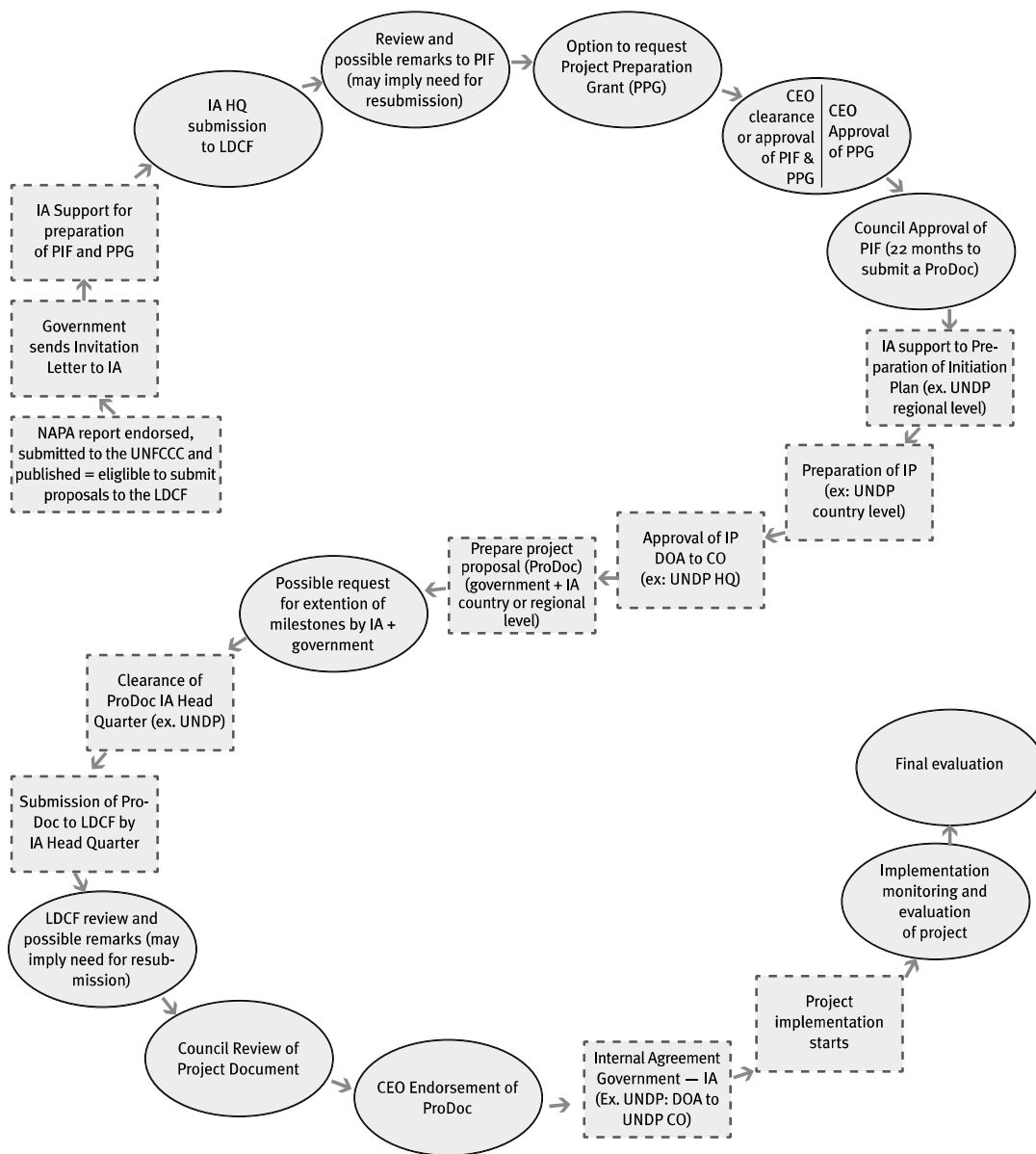




Figure 2: LDCF project cycle for preparing NAPA priority projects (with UNDP as a GEF Agency)<sup>11</sup>

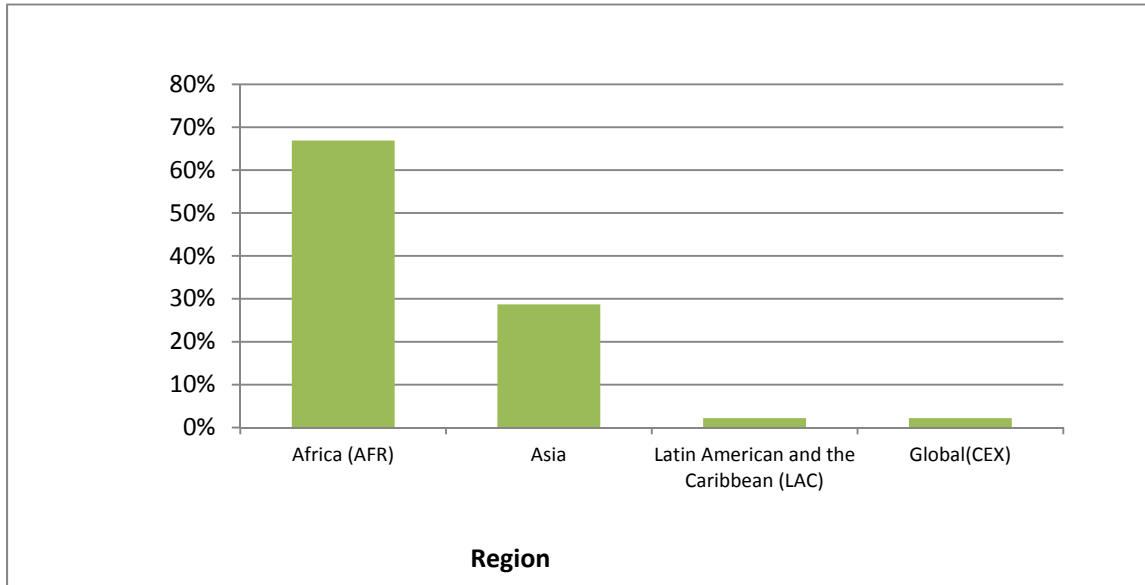


Notes: Boxes indicate actions taken by the Governments and/or the GEF Agencies (in this case the United Nations Development Programme (UNDP) procedures are used to illustrate the process which a NAPA implementation project needs to undergo if UNDP acts as the implementing agency). Circles indicate actions by the LDCF administration, GEF CEO or LDCF/SCCF Council.

<sup>11</sup> GEF Evaluation Office and DANIDA. 2009, p. 37.

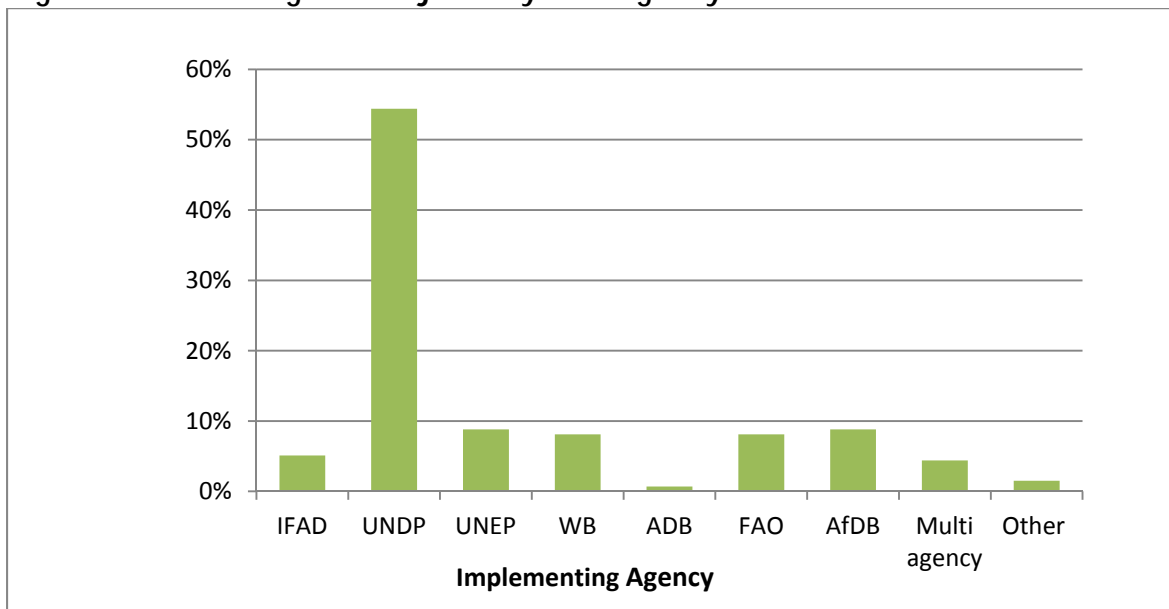
25. Most of the projects in the portfolio are from the Africa region (69 percent), followed by Asia (27 percent), 3 projects (2 percent) in Latin America and the Caribbean, and 3 global projects (2 percent) respectively which together represented 4 percent of the distribution (see figure 3). The regional distribution of the portfolio and LDCF programming reflects the distribution of LDCs, a large majority of which are located in Africa.

**Figure 3: Percentage of Projects by Region**



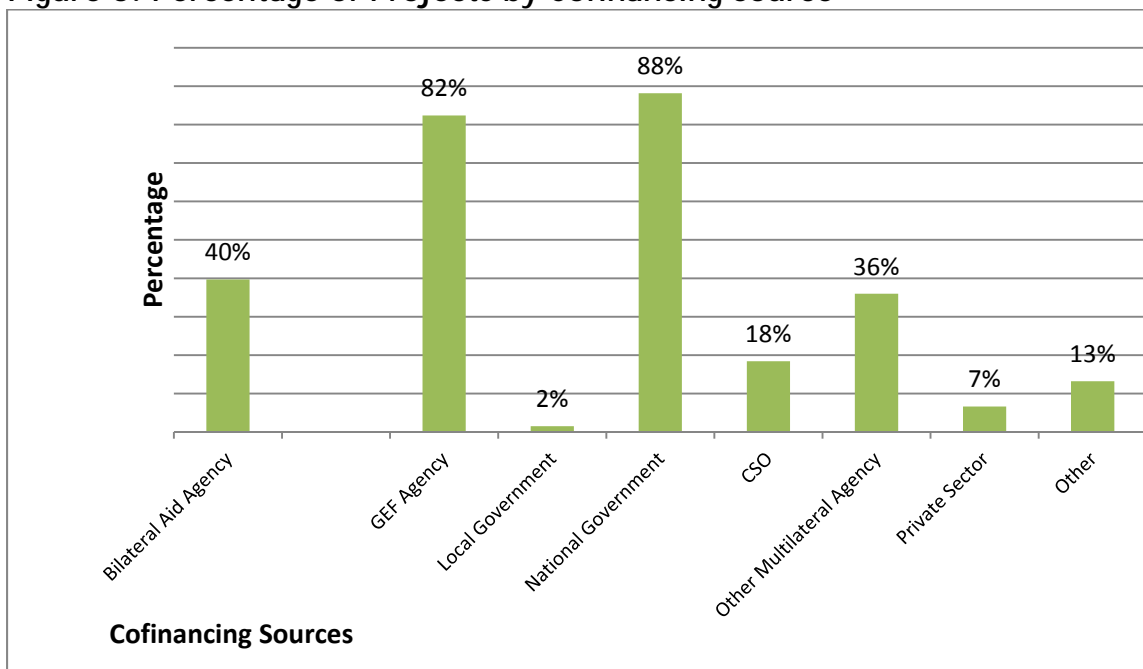
26. The United Nations Development Programme (UNDP) is the lead GEF Agency with 55 percent of the projects in the portfolio. The African Development Bank (AfDB) and United Nations Environment Programme (UNEP) represented 9 percent each of the projects, Food and Agricultural Organization of the United Nations (FAO) and the World Bank (8 percent each) and the International Fund for Agricultural Development (IFAD) 5 percent. Multi-Agency projects represented 4 percent of the total (figure 4).

**Figure 4: Percentage of Projects by GEF Agency**



27. Eighty-eight percent of the projects indicated national governments as sources of cofinance at project design. Cofinancing from a local government authorities represented 1 percent of the total. GEF Agencies represented 82 percent, followed by bilateral agencies (40 percent) (see figure 5). Civil society organizations (CSO) represented 18 percent of cofinancing sources, mostly from International nongovernmental organizations (NGOs), and the private sector represented 7 percent of cofinancing sources.

**Figure 5: Percentage of Projects by Cofinancing Source**



### 3. Assessment of NAPA Implementation Projects

#### Alignment with NAPAs

28. A large majority of the projects is aligned with their NAPA. Alignment to the NAPA was measured by the degree with which NAPA implementation projects responded to the priority adaptation needs listed in the NAPA. A rating of very high indicated an alignment of the projects primary priority to the highest ranked adaption need as outlined in the NAPA. Table 1 below shows the degree by percentage of projects alignment with NAPA priorities. All projects were aligned to their respective NAPA with 58 percent showing a very high degree of alignment and 42 percent a high alignment, i.e. more than half of projects were aligned with their respective country's highest priority.

**Table 1: Alignment with NAPA of Relevant Country**

Alignment with NAPA	
Degree of Alignment to NAPA	Percentage of NAPA implementation projects (%)
<u>Very High</u> : project's primary priority addresses first priority as listed/outlined in NAPA	63
<u>High</u> : project's primary priority does not address first priority but addresses one or more of the other listed/outlined priorities in NAPA	37
<u>Low</u> : project does not adequately address the specific priorities outlined in NAPA	0
<u>None</u> : project does not address any of the priorities outlined in NAPA	0
Total	100

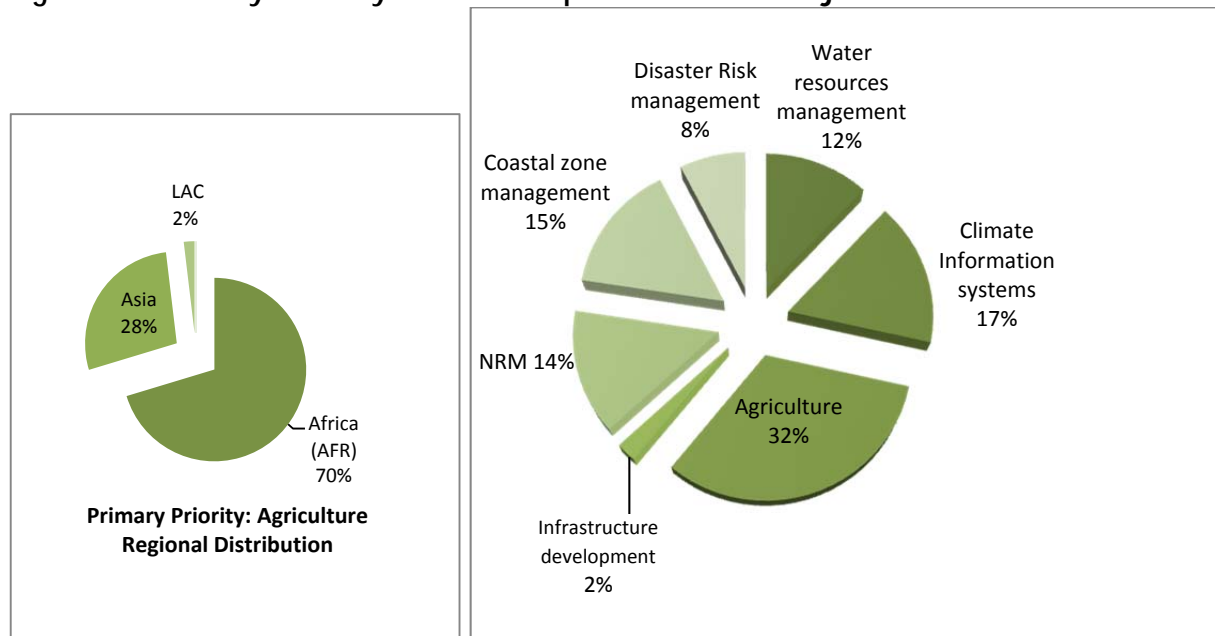
#### Primary Adaptation Priorities in NAPA Implementation Projects

29. The primary priority addressed in NAPA implementation projects was Agriculture. NAPA implementation projects are designed to respond to key priority adaptation needs identified in the Country's NAPA development process and listed and ranked in the NAPA document itself. For each project analyzed, the primary priority that the project intends to address was identified. Agriculture emerged as the key priority in the NAPAs submitted to the UNFCCC. It was subsequently the highest priority for NAPA implementation projects analyzed. As shown in figure 6, the highest primary priority in NAPA implementation projects was agriculture at 32 percent. Infrastructure development was the least priority with only two projects addressing it.<sup>12</sup> Others include coastal zone management (15 percent), water resources management (12 percent), climate information systems (17 percent), NRM (14 percent), and disaster risk

<sup>12</sup> GEFID 4696 - Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk, Timor Leste.

reduction at (8 percent) respectively. Human health was not listed as a primary priority in any of the projects. At the regional level, 70 percent of projects from the Africa region indicated agriculture as their highest priority and 28 percent from Asia and 2 percent from the Latin American and Caribbean Region.<sup>13</sup>

**Figure 6: Primary Priority in NAPA Implementation Projects**



30. Agriculture was the key adaptation issue in NAPAs. The NAPAs list and then rank key priority needs for adaptation. Priority projects are then listed in order of highest priority for a particular country. Table 2 shows the key adaptation issues listed in all NAPAs analyzed. Agriculture was listed as a key adaptation need in 96 percent of NAPAs analyzed, followed by water resource management at 87 percent and NRM 78 percent each respectively.

**Table 2: Key Adaptation Issue by Percentage in all NAPA**

Adaptation Need in NAPAs	Percent of NAPAs (%)
Agriculture	96
Water resources management	87
NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation	78
Human health	59
Climate information systems	62
Coastal zone management	48
Other, for example energy sector	43
Infrastructure development	35
Disaster risk management	26

<sup>13</sup> Global projects did not list a highest priority.

## Consistency with LDCF Strategies

31. All Projects were found to be consistent with the LDCF strategies, eligibility criteria, and priorities. Other quality-at-entry parameters were analyzed including alignment with LDCF strategy and priorities. The LDCF was created with the objective of supporting urgent and immediate adaptation needs in the LDCs as identified in the NAPAs. A recent analysis by the LDCF shows that “the portfolio of projects approved under the LDCF contributed towards all three objectives of the Fund.”<sup>14</sup>

32. The projects in the portfolio were found to be aligned with LDCF goals since they were aimed at funding the additional costs associated with addressing adaptation needs. They also conform to the LDCF’s eligibility criteria, namely: 1) a country driven approach; 2) implementing the NAPA priorities; 3) supporting a “learning-by-doing” approach. This included alignment with national development priorities, stakeholder partnerships, presence of risk assessments and mitigation strategies as well as degree of gender mainstreaming including presence of gender strategy and indicators.

33. On close analysis the NAPA implementation projects are well aligned with other national development priorities. They were aligned with the key national policies on land use planning, environment, disaster risk management, decentralization and privatization such as, National Adaptation Priorities (NAPs), National Biodiversity Strategies and Action Plans (NBSAPs), national communications to the UNFCCC, Technology Needs Assessments (TNAs), National Implementation Plans (NIPs), Poverty Reduction Strategy Papers (PRSPs), and national Planning Frameworks (NPF). The projects were also aligned with the most immediate and urgent adaptation needs and gaps as outlined in the relevant NAPA.

## Mainstreaming Gender into NAPA Implementation Projects

34. A guiding principle for the development of NAPAs is the inclusion of gender aspects to climate vulnerability. The analysis assessed the degree of inclusion of gender aspects of climate vulnerability at project design.<sup>15</sup> Overall a high percentage of projects (82 percent) have a gender strategy. Box 1 describes a NAPA implementation project in Malawi that included a comprehensive gender strategy at project design.

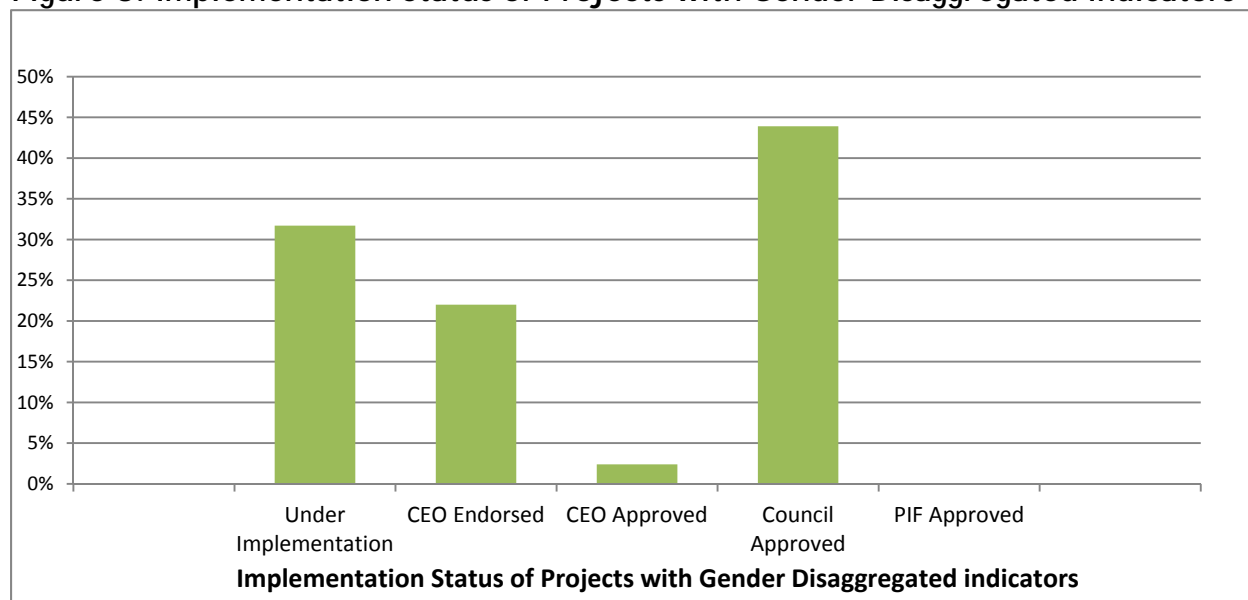
35. However only 30 percent have gender disaggregated indicators in their monitoring and evaluation plan. In 2010 the GEF LDCF introduced a results based management tracking tool that mandated the use of gender disaggregated indicators to measure progress on mainstreaming gender into adaptation measures. Thus, the 30 percent represented those projects which were approved between 2010 and 2014. Thus NAPA implementation projects, although have been including a gender strategy at design from the beginning, they are now increasingly using gender disaggregated indicators to measure progress. Figure 8 below describes the implementation status of those 41 projects that included gender disaggregated indicators in their project results frameworks at design stage.

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<sup>14</sup> GEF/LDCF.SCCF.14/03 May 23, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund. LDCF/SCCF Council Meeting June 20, 2013, Washington D.C.

<sup>15</sup> See GEF Policy on Gender Mainstreaming (PL/SD/02 May 1, 2012 ) available at <http://www.thegef.org/gef/policy/gender>; and GEF/LDCF.SCCF.9/Inf.4 October 20, 2010, Updated Results-Based Management Framework For The Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) and Adaptation Monitoring And Assessment Tool. LDCF/SCCF Council Meeting November 18, 2010.

**Figure 8: Implementation Status of Projects with Gender Disaggregated Indicators**



**Box 1: Including a comprehensive gender strategy to climate proof local development in rural and urban areas of two Districts in Malawi**

The goal of the Climate proofing local development gains in rural and urban areas of Machinga and Mangochi Districts in Malawi project, is to use ecological, physical and policy measures to reduce vulnerability to climate change driven droughts, floods and post-harvest grain losses for rural and urban communities of Machinga and Mangochi Districts of Malawi (reaching over 0.5 million people).

This project will secure the productivity gains of rural and urban communities in spite of climate change driven risks, primarily in two districts (Mangochi and Machinga), which cover an area of over a million hectares with a total population of about one million people. Women and youth constitute a large percentage of farmers. The project proponents realize that climate change affects men, women and children differently in Malawi, making the gender dimension of equality and women’s empowerment a critical consideration in the design of the project.

The proponents also realize that the participation of all sectors of the population (men, women, and youth) is critical for identifying appropriate adaptation measures and their sustainability. They also recognized the importance of securing the right partnerships to implement its gender strategy. It will partner with the Ministry of Gender, Child and Community Development, to ensure equitable development across gender and communities

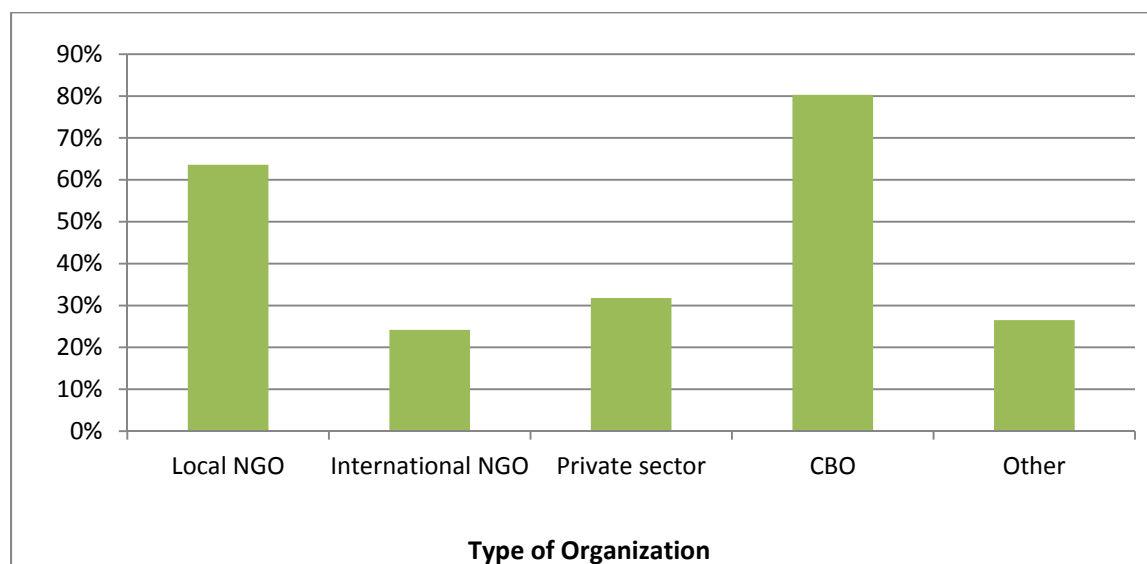
The project will ensure that broad participation of all relevant gender groups through formulation of a gender strategy to guide targeting of project initiatives.

**Partnerships and Risk Assessment**

36. Partnerships are an integral component in the design of NAPA implementation projects. The analysis assessed the extent to which the project at design plans to work with other partners to achieve their goals. Partnerships included in the analysis were with national

governments, local government institutions, CSOs, private sector and of course project beneficiaries such as local community based organizations.

**Figure 7: Percentage of Projects by Partnerships (CSO and Private Sector)**



37. The majority of projects indicated partnerships with national governments with 93 percent of the projects partnering with a line Ministry for implementation (figure 7). The role of the line ministry was predominantly as executing agency (92 percent). Eighty-nine percent of the projects indicated that they would receive support from the government (local and national) most prominently as a source of in kind financing (74 percent), with 55 percent receiving cash.

38. A large majority of projects included partnerships with non-governmental institutions, particularly with Community based organizations. Ninety-six percent of the projects were planning at design to work with CBOs and 63 percent with a local NGO group. Thirty-two percent indicated private sector partnerships particularly those focusing on urban water resources management and infrastructure development. International NGOs represented 24 percent of partnerships. Other groups included universities, schools, trust funds and radio stations.

39. The role of the CBO and/or private sector institutions was predominantly a participatory role during project implementation. Four percent would have a role as national executing agency and this included international NGOs and private sector. On the other hand, 20 percent were providing some cofinancing including international NGOs and some project beneficiaries such as CBOs. Box 2 below describes a NAPA implementation project that will use a multi-partnership approach to strengthen the resilience of infrastructure to climate variability in Timor Leste.



**Box 2: Using Multiple Partnerships to Strengthen the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk in Timor Leste**

The **Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk** project aims to design and implement climate resilient small scale infrastructure in rural Timor Leste, through participatory approaches and strengthened local governance systems, reflecting the needs of communities vulnerable to increasing climate risks. The project proponents plan to use a wide range of partnerships to achieve the project's goal.

**Government Ministries:** The Ministry of Economy and Development, Ministry of State Administration and Territorial Management and the Ministry of Infrastructure are the lead executing agencies and will provide cofinancing for the project.

**International and Local NGOs and Universities:** NGOs and academic institutions will provide advice on improvement of community mobilization processes and development of methodologies, climate resilience innovation technology and infrastructure designs, curriculum development and implementation of capacity development and training, research, and case studies. They will also support the project with awareness raising materials and activities and for joint climate resilience knowledge development and sharing through a knowledge platform. They will also support policy advocacy.

**Private Sector:** The private sector is expected to implement the infrastructure components of the project and provide advice on improvement of infrastructure designs and assist with contract documents. The project has also identified the private sector as a target group for training on construction standards of climate resilient rural infrastructure.

**CBOs and Traditional Authority:** The project has identified CBOs and traditional authorities to provide local knowledge to the implementation of the project. They will also support all project stakeholders in acquiring adequate understanding of local realities. Additionally they will facilitate the development of practically feasible solutions and facilitate local planning.

40. Generally, NAPA implementation projects are assessing risks and a large majority (96 percent) included a risk mitigation strategy. Common risks highlighted by projects include Risks include:

- Political instability
- Political resistance
- Limited capacity of government partners
- Lack of political will
- Turnover of government staff
- Cultural and social resistance
- Occurrence of natural disasters: storms, flooding, earthquakes

## Annexes

### Annex 1: List of projects in the LDCF sample

GEF ID	Country	Agency	Title
3302	Malawi	AfDB	Climate Adaptation for Rural Livelihoods and Agriculture (CARLA)
3430	Sudan	UNDP	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change
3684	Burkina Faso	UNDP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso
3716	Sierra Leone	IFAD	Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone
3718	Congo DR	UNDP	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security
3728	Gambia	UNEP	Strengthening of The Gambia's Climate Change Early Warning Systems
3733	Haiti	UNDP	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti
3776	Mali	UNDP	Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali
3798	Vanuatu	World Bank	Increasing Resilience to Climate Change and Natural Hazards
3838	Rwanda	UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas
3847	Maldives	UNDP	Integrating Climate Change Risks into Resilient Island Planning
3857	Comoros	UNDP/ UNEP	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change
3893	Mauritania	IFAD	Support to the Adaptation of Vulnerable Agricultural Production Systems
3979	Mali	FAO	Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas
4018	Sao Tome and Principe	World Bank	Sao Tome and Principe Adaptation to Climate Change
4019	Guinea-Bissau	UNDP	Strengthening Resilience and Adaptive Capacity to Climate Change in Guinea-Bissau's Agrarian and Water Sectors
4034	Lao PDR	UNDP	Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts
4141	Tanzania	UNEP	Developing Core Capacity to Address Adaptation to Climate Change in Productive Coastal Zones
4216	Samoa	UNDP	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)
4222	Ethiopia	UNDP	Promoting Autonomous Adaptation at the community level in Ethiopia
4431	Maldives	UNDP	Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector
4453	Lesotho	IFAD	Adaptation of Small-scale Agriculture Production (ASAP)
4568	Madagascar	UNEP	Adapting Coastal Zone Management to Climate Change in Madagascar Considering Ecosystem and Livelihood Improvement

GEF ID	Country	Agency	Title
4585	Samoa	UNDP	Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks
4599	Sierra Leone	UNDP	Building adaptive capacity to catalyze active public and private sector participation to manage the exposure and sensitivity of water supply services to climate change in Sierra Leone
4696	Timor Leste	UNDP	Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk
4701	Niger	UNDP	Scaling up Community-Based Adaptation (CBA) in Niger
4702	Niger	FAO	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach
4714	Tuvalu	UNDP	Effective and Responsive Island-level Governance to Secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity
4724	Gambia	UNDP	Enhancing Resilience of Vulnerable Coastal Areas and Communities to Climate Change in the Republic of Gambia
4725	Solomon Islands	UNDP	Solomon Islands Water Sector Adaptation Project (SIWSAP)
4797	Malawi	UNDP	Climate Proofing Local Development Gains in Rural and Urban Areas of Machinga and Mangochi Districts
4950	Liberia	UNDP	Strengthening Liberia's Capability to Provide Climate Information and Services to Enhance Climate Resilient Development and Adaptation to Climate Change.
4976	Bhutan	UNDP	Addressing the Risk of Climate-induced Disasters through Enhanced National and Local Capacity for Effective Actions
5004	Sao Tome and Principe	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sao Tome and Principe
5006	Sierra Leone	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sierra Leone
5015	Malawi	UNDP	Implementing Urgent Adaptation Priorities Through Strengthened Decentralized and National Development Plans
5021	Djibouti	UNEP	Implementing Adaptation Technologies in Fragile Ecosystems of Djibouti's Central Plains
5056	Timor Leste	UNDP	Strengthening Community Resilience to Climate Induced Natural Disasters in the Dili to Ainaro Road Development Corridor, Timor Leste
5071	Gambia	UNEP/UNDP	Strengthening climate services and early warning systems in the Gambia for climate resilient development and adaptation to climate change - 2nd Phase of the GOTG/GEF/UNEP LDCF NAPA Early Warning Project
5111	Nepal	FAO	Reducing Vulnerability and Increasing Adaptive Capacity to Respond to Impacts of Climate Change and Variability for Sustainable Livelihoods in Agriculture Sector in Nepal
5174	Yemen	IFAD	Rural Adaptation in Yemen
5184	Sao Tome and Principe	UNDP	Enhancing Capacities of Rural Communities to Pursue Climate Resilient Livelihood Options in the Sao Tome and Principe Districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)
5190	Mauritania	AfDB	Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Resources in Southern Mauritania

GEF ID	Country	Agency	Title
5192	Mali	UNDP	Strengthening the Resilience of Women Producer Group's and Vulnerable Communities in Mali
5202	Afghanistan	UNDP	Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks
5231	Angola	AfDB	Integrating Climate Change into Environment and Sustainable Land Management Practices
5232	Benin	AfDB	Flood Control and Climate Resilience of Agriculture Infrastructures in Oueme Valley - Benin
5318	Cambodia	UNDP	Strengthening Climate Information and Early Warning Systems in Cambodia to Support Climate Resilient Development and Adaptation to Climate Change
5382	Guinea	UNDP	Ecosystem-Based Adaptation Targeting Vulnerable Communities of the Upper Guinea Region
5417	Samoa	UNDP	Economy-wide integration of CC Adaptation and DRM/DRR to Reduce Climate Vulnerability of Communities in Samoa

## Annex 2: Documents consulted for LDCF

Biagini, B and Dobardzic, S. 2011. Accessing Resources under the Least Developed Country Fund. Available at <http://www.thegef.org/gef/node/4433>.

Global Environment Facility (GEF). 2012. GEF Policy on Gender Mainstreaming (PL/SD/02 May 1, 2012) available at <http://www.thegef.org/gef/policy/gender>.

GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund, LDCF/SCCF Council Meeting 2013.

GEF/LDCF.SCCF.14/03. May 23, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund. LDCF/SCCF Council Meeting June 20, 2013.

GEF/LDCF.SCCF.9/Inf.4. October 20, 2010. Updated Results-Based Management Framework for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) And Adaptation Monitoring and Assessment Tool.

GEF Evaluation Office and DANIDA. 2009. Joint External [Evaluation: Operations of the Least Developed Countries for Adaptation to Climate Change](#).

UNFCCC. National Adaptation Programmes of Action.

Website: [https://unfccc.int/adaptation/workstreams/national\\_adaptation\\_programmes\\_of\\_action/items/7567.php](https://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7567.php).

GEF: Least Developed Country's Fund (LDCF) Website. <http://www.thegef.org/gef/LDCF>.

## Annex 3: Survey protocol for LDCF

### LDCF NAPA Evaluation - Project Review Protocol

#### I. PROJECT INFORMATION

1. Documents used for this review
2. GEF ID
3. Project title
4. Implementation status
  - a) Completed
  - b) Under implementation
  - c) CEO endorsed
  - d) Council approved
  - e) PIF approved
5. Region
  - a) Africa (AFR)
  - b) Asia
  - c) Latin American and the Caribbean (LAC)
  - d) Global (CEX)
6. List Country/ies
7. Implementing Agency
  - a) IFAD
  - b) UNDP
  - c) UNEP
  - d) WB
  - e) ADB
  - f) AfDB
8. Project size
  - a) Medium-size project
  - b) Full-size project
9. Overall funding in \$<sup>16</sup>
  - a) LDCF trust funding
  - b) Cofinancing
  - c) Total funding
10. Cofinancing by source/\$
  - a) Bilateral aid agency
  - b) Foundation
  - c) GEF Agency
  - d) Local government
  - e) National government
  - f) CSO
  - g) Other multilateral agency
  - h) Private sector
  - i) Other

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<sup>16</sup> LDCF funding = total grant amount (i.e. grant + PPG + Agency fees); total funding = total project cost (including PPG and fees).

## II. EVALUATION

The evaluation of projects will be focused and assessed on the basis of the project design. If it is under implementation Project will be assessed in conjunction with any PIRs or MTR done. When appropriate, for each question, a comment box will allow for explanation of scores and all qualitative information to be included in the analysis.

### A) Relevance

#### NAPA Information

11. Year of NAPA Submission to the UNFCCC

12. NAPA Priorities List (and rank)<sup>17</sup> (multiple answers possible)

- a) Water resources management
- b) Climate Information systems
- c) Agriculture
- d) Human Health
- e) Infrastructure development
- f) NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
- g) Coastal zone management
- h) Disaster Risk management
- i) OTHER (Energy Sector: Renewable energy, Energy Efficiency , energy security

13. Number of priority projects listed in NAPA

- a) 1-5
- b) 6-10
- c) 11-20
- d) > 20

#### Project's relevance to NAPA priority areas

14. Overall project objective

15. Main impact indicators (as given by PD)

16. Choose Primary<sup>18</sup> NAPA priority/sector that project addresses (multiple answers possible)

- a) Water resources management
- b) Climate Information systems
- c) Agriculture
- d) Human Health
- e) Infrastructure development
- f) NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
- g) Coastal zone management
- h) Disaster Risk management
- i) Other (energy sector: Renewable energy, Energy Efficiency , energy security

#### Further comments and relevant text passages from documents:

16.b. Choose other NAPA priority/sectors that project addresses (multiple answers possible)

- a) Water resources management
- b) Climate Information systems
- c) Agriculture

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<sup>17</sup> According to the UNFCCC, The main content of NAPAs is a list of ranked priority adaptation activities and projects.

<sup>18</sup> Recognizing that adaptation in itself is cross-cutting, we identify the "primary sector" by looking at the specific \$ amounts allocated to sectors. According to the LDCF, fit with NAPA is described as "Does the project respond to the highest priority/ies identified in the NAPA," see page.13 of [http://www.thegef.org/gef/sites/thegef.org/files/publication/23469\\_LDCF.pdf](http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf).

- d) Human health
- e) Infrastructure development
- f) NRM: fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
- g) Coastal zone management
- h) Disaster risk management
- i) Other (energy sector: renewable energy, energy efficiency, energy security)

17. Overall assessment of projects alignment with NAPA priorities

Answer choices:

- a. Very high: project's primary priority addresses first priority as listed/outlined in country NAPA
- b. High: Project's primary priority does not address first priority but addresses one or more of the other listed/outlined priorities in country NAPA
- c. Low: Project does not adequately address the specific priorities outlined in country NAPA
- d. Project does not address ANY of the priorities outlined in Country NAPA

**Explanation of choice and relevant text passages from documents**

18. Project's relevance to the LDCF mandate and strategies

Is the project consistent with the LDCF strategies, eligibility criteria and priorities?

Yes/No/NA/UA

**Explanation of Response and relevant text passages from documents**

19. Project's relevance to national agendas of recipient countries

- a. Is the project aligned with country's development and environmental agendas as well as national communications, e.g NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.? Yes/No/NA/UA

**Explanation of score and relevant text passages from documents:**

**B) Partnership and Mainstreaming**

**Degree of government involvement in project implementation**

21. Does the project have a line ministry involved? Yes/No/NA/UA

22. Name Line Ministry (ies) partnering with the project

23. Role of Line Ministry (multiple choice)

- a. Executing agency
- b. Implementing partner
- c. Other (Describe)

**Degree of government commitment (e.g. cofinancing)**

24. Did the government provide cofinancing? Yes/No

If yes, what amount?

25. Did the Government provide in-kind support to the project? Yes/No/NA/UA

Describe Assistance:

**Degree of civil society involvement in project implementation**

26. Does the project include civil society organizations/groups to participate in project implementation? Yes/No/NA/UA

27. Name the civil society partners involved/identified in project design

28. Type of Organization

- a. Local NGO
- b. International NGO
- c. Private sector institution
- d. CBO

29. Role of civil society partners (multiple choice)

- a. Executing agency

- b. Implementing partner
- c. Other (Describe)

**C) Gender**

**Gender in M&E design**

30. Does the project include a gender mainstreaming strategy or plan (if and when appropriate)? Yes/No/NA/UA

31. Do the M&E plans include gender disaggregated indicators? Yes/No

32. Describe indicators:

**Degree of Gender participation in project activities**

33. Is gender considered in Training components: Yes/No/NA/UA

Describe activities:

34. Is Gender considered in awareness activities: Yes/No/NA/UA

Describe activities:

**D) Identification of Risks**

35. Has the project indicated risks, including climate change risks that might prevent the project objectives from being achieved?

**Describe Risks**

36. Has the project design proposed measures that address these risks? Yes/No/UA/NA

37. Overall comments on project: Please describe any extraordinary aspects of the project design (positive or negative)