



GEF/LDCF.SCCF.9/6/Rev.1
November 2, 2010

LDCF/SCCF Council Meeting
November 18, 2010

ACCESSING FINANCING UNDER THE SPECIAL CLIMATE CHANGE FUND

Recommended Council Decision

The Council reviewed the proposed document GEF/LDCF.SCCF.9/6 *Accessing Financing under the Special Climate Change Fund*, and finding that the document is consistent with the GEF operational policies recommendations adopted during GEF/C.38, approves it as is.

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INTRODUCTION

1. Seeking improved effectiveness and efficiency of GEF processes and operations has been a continuous endeavor. This document was prepared to render the Special Climate Change Fund (SCCF) procedures more accessible to the developing countries, and especially those developing countries that are particularly vulnerable to climate change. This document contains a standalone paper with SCCF operational guidelines, with a view to improve communication and access to SCCF resources.

2. The SCCF was established under the UN Framework Convention on Climate Change (UNFCCC) in 2001 to finance activities, programs, and measures relating to climate change that are complementary to those funded by the GEF Trust Fund and by bilateral and multilateral funding. It was also agreed that adaptation would be the top priority for the SCCF, as per UNFCCC's Decision 5/CP.9.

3. At the seventh session of the Conference of the Parties to the UN Framework Convention on Climate Change held in Marrakesh, from October 29 to November 10, 2001, (COP7), the parties requested that the GEF, as an operating entity of the financial mechanism of the Convention, to operate the SCCF.

4. SCCF's policies and operational procedures are approved by the LDCF/SCCF Council in response to UNFCCC COP guidance. Therefore, the SCCF follows the GEF operational procedures except when the LDCF/SCCF Council decides otherwise in response to COP guidance.

5. The reforms that were recently approved to streamline the GEF project cycle and make the GEF operations more effective and efficient also apply to the SCCF. The Secretariat has therefore prepared this document, reflecting the new policy changes of GEF-5.

Making SCCF More Accessible to Developing Countries

6. This paper is an effort to introduce the Fund to a wider audience of decision makers and other stakeholders, particularly in countries and sectors that are critical for adaptation, and for which the SCCF may not have yet been accessed. It primarily serves as a communication tool, and provides references to more in-depth documentation as appropriate. As a result, detailed procedures, such as those on the GEF-5 programmatic approach, are discussed elsewhere.

Improving the GEF Project Cycle

7. The GEF project cycle has been a focus of successive streamlining measures. A set of streamlining changes, approved by the Council in June 2007 (GEF/C.31/7/Rev.1), adopted an approach whereby the Council approves proposals at two stages – first at the concept stage (based on a Project Identification Form) in a work program and, second, when the project is fully prepared (based on a final project document) prior to CEO endorsement. This process represented a streamlining of the former multi-stage Council and CEO approval process. However, the introduction of a further-streamlined project cycle for GEF-5, results by default in changes in the SCCF project cycle as well.

8. A further streamlining of the GEF procedures has been adopted at the fifth replenishment of the GEF, concluded on May 12, 2010, including a simplified project approval cycle which reduces the number of project approval steps. As the SCCF by default follows operational policies of the GEF Trust Fund, unless it is decided otherwise by the LDCF/SCCF Council and the COP guidance, the Secretariat has prepared this document for the LDCF/SCCF Council discussion, reflecting the policy changes.

9. The importance of SCCF to adaptation is particularly significant because of its potential to support the development of regional programmatic approaches, an aspect in which, currently, the SCCF has a comparative advantage over other adaptation mechanisms, as it serves all the developing countries.

10. Under the GEF-5 project cycle, there is scope and potential for a scaled-up level of intervention, as new procedures are being devised for the programmatic approach. It has been recognized that, in order for adaptation action to be effective, it is important to move beyond a project-by-project approach to a higher order of intervention. The new programmatic approach developed under the GEF-5, along with the possibility to blend funding under the different focal areas of the GEF, are expected to facilitate results at a larger scale and leverage further adaptation co-benefits.

11. However, it is important to recognize that so far the single most significant limiting factor in the effectiveness of the SCCF is that of the availability of funding under this fund. Similarly, the lack of predictability in terms of future financial resource availability has disfavored larger investments, notably programmatic or regional initiatives, vis-à-vis single projects. Furthermore, with substantial support to the SCCF, there is now significant potential for realizing higher-order results under the programmatic approach.



ACCESSING RESOURCES
UNDER THE
SPECIAL CLIMATE CHANGE FUND

Global Environment Facility

November 2010

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LIST OF ACRONYMS

BAU	Business-as-Usual
CBO	Community-based Organization
CEO	Chief Executive Officer
COP	Conference of Parties
FSP	Full-sized Project
GEF	Global Environment Facility
LDC	Least Developing Countries
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries' Expert Group
MDB	Multilateral Development Bank
MSP	Medium-sized Project
NAPA	National Adaptation Program(me) of Action
NGO	Non-governmental Organization
PIF	Project Identification Form
PPG	Project Preparation Grant
SCCF	Special Climate Change Fund
STAR	System for Transparent Allocation of Resources
UNFCCC	United Nations Framework Convention on Climate Change

“The Conference of the Parties, [...]”

Stressing the importance of bilateral and multilateral funding in support of the implementation of activities, programmes and measures in the climate change area,

Noting that the Special Climate Change Fund supports the implementation of the Convention, contributes to the achievement of the World Summit on Sustainable Development and the Millennium Development Goals, and contributes to the integration of climate change considerations into development activities [...]”

(From Decision 5/CP.9, Ninth Conference of the Parties, United Nations Framework Convention on Climate Change¹)

INTRODUCTION

1. The Special Climate Change Fund (SCCF) was established under the UN Framework Convention on Climate Change (UNFCCC) in 2001 to finance activities, programs, and measures relating to climate change that are complementary to those funded by the resources allocated to the Climate Change Focal Area of the GEF and by bilateral and multilateral funding.

2. The SCCF was established with four different funding windows:

¹ See Annex IV for full Decision 5/CP.9

- a. *Adaptation*
- b. *Transfer of technologies*
- c. *Energy, transport, industry, agriculture, forestry, and waste management*
- d. *Economic diversification for fossil fuel dependent countries.*²

As of date, only the Adaptation (a) and Transfer of Technologies (b) windows are active.

3. At the Ninth Conference of the Parties (COP) it was further decided that:

- ▶ ***The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;***
- ▶ ***Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;***
- ▶ ***Adaptation activities to address the adverse impacts of climate change shall have top priority for funding; and,***
- ▶ ***Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund.***³

² Specifically, “Activities to assist developing countries whose economies are highly dependent on income generated from the production, processing, and export or on consumption of fossil fuels and associated energy-intensive products in diversifying their economies.”

³ See Annex IV

4. Any Non-Annex I country who is party to the UNFCCC is eligible for project funding under the SCCF⁴. Annex II countries of the UNFCCC provide the funding for the SCCF along with some Annex I countries as well as any non-Annex I that may wish to voluntarily contribute to the Fund.

SCCF OBJECTIVES

5. Currently, the objective of the SCCF is to support adaptation and technology transfer projects and programs that:

- are country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies; and,
- take into account national communications or NAPAs and other relevant studies and information provided by the Party.

SCCF ADAPTATION

6. SCCF adaptation projects support the implementation of adaptation actions in non-annex I parties. COP guidance lists the following areas for adaptation under the SCCF:

- (a) Water resources management;*
- (b) Land management;*
- (c) Agriculture;*
- (d) Health;*⁵

⁴ COP decision, COP 7: Conference of the Parties (COP), Seventh session, 29 October - 10 November 2001, Marrakesh, Morocco

⁵ Including monitoring of diseases and vectors affected by climate change and related forecasting and early warning systems, and in this context to improve disease control and prevention.

- (e) Infrastructure development;*
- (f) Fragile ecosystems (including mountain ecosystems);*
- (g) Integrated coastal zone management; and,*
- (h) Climatic disaster risk management.*⁶

SCCF TECHNOLOGY TRANSFER

7. Technology transfer under the SCCF focuses on the transfer of environmentally sustainable technologies, concentrating on, but not limited to, technologies to reduce emissions or atmospheric concentrations of greenhouse gases, in line with the recommendations from the national communications, technology assessments (TNAs), and other relevant information.

8. According to COP guidance⁷ the SCCF can support:

- (a) implementation of the results of technology needs assessments;*
- (b) technology information;*
- (c) capacity-building for technology transfer; and*
- (d) enabling environments.*

SCCF RULES AND POLICIES

9. When the SCCF was established by the UNFCCC Conference of Parties (COP) at its 7th Session, the COP asked the GEF to manage the SCCF, with the

⁶ Including supporting the existing and, where needed, assist in establishing, national and regional centers and information networks for rapid response to extreme weather events, utilizing information technology as much as possible.

⁷ Decision 5/CP.9, see Annex IV

World Bank as the Trustee. The GEF receives guidance from and reports to the UNFCCC COP. The governing body of the SCCF is the LDCF/SCCF Council which meets two times a year.

TABLE 1. Key Distinctions between GEF Trust Fund and SCCF

	Conventional GEF trust funds	SCCF
Project must generate global benefits	Yes	No*
Projects must generate adaptation benefits	No	Yes*
Funding allocated according to Resource Allocation Framework or STAR	Yes	No
Projects financed according to the “incremental cost” principle	Yes	No*

* Technology Transfer for Mitigation projects are excepted.

10. The SCCF follows the GEF procedures, and in order to ensure sound financial management, the SCCF follows the GEF’s fiduciary standards, result-based frameworks, and monitoring and evaluation practices. The SCCF also follows GEF operational policies except where the LDCF/SCCF Council decides otherwise in response to COP guidance, as shown in **Table 1**.

11. In order to fulfill its mandate, the SCCF has a number of unique and innovative features compared

to other types of GEF financing. Some of the key distinctions, summarized in **Table 1**, are discussed later in the document.

PREPARATION FOR PROJECT IMPLEMENTATION UNDER THE SCCF STREAMLINED PROJECT CYCLE

Summary of the Process and Key Concepts

- The SCCF Project Proponent develops a concept for a project and requests assistance from an **Implementing Agency** of the GEF (see Fig. 1.)
- **The SCCF Project Proponent secures the endorsement of the national GEF Operational Focal Point.**
- *Projects over USD 1 million* are referred to as **Full-sized Projects (FSP)**; those of *USD1 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 SCCF 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.

12. The project cycle for the SCCF is similar to that employed by the GEF Trust Fund.

13. The coordination between the stakeholders should be established early in the process, and prior to submission of a funding request to the GEF, consistent with the GEF's Public Involvement Policy⁸. The application for funding will be submitted through the selected Agency.

14. The implementing agency that is most suitable for the given project should be selected among the 10 GEF Agencies.⁹

15. Each of the stages of the project cycle is approved by the LDCF/SCCF Council and/or GEF CEO.

16. In the case of **Full-sized Projects** (FSP), the steps of the SCCF project cycle include submission of a PIF, including a **project preparation grant** if desired (PPG, this is optional). After the PIF has been approved by the LDCF/SCCF Council, the GEF agency then works with the Project Proponent to develop the project fully into a detailed Full Project Document (FPD). The GEF CEO endorses the project, after which it is ready for implementation.

17. The **Medium-sized Project** (MSP) is approved by the CEO, and can be done in one step. This means that the proponent can start by submitting a detailed FPD. After the project document is approved by the GEF CEO, implementation can begin. However, if the proponent desires to access a Project Preparation

Grant (PPG), an approved PIF is required for MSPs also.

18. The GEF Agency works very closely with the country at each successive step, and ultimately assists the country in implementing the project.

19. *The PIF, PPG and Project CEO*

Endorsement/Approval Templates are available in Annex I, II, and III, respectively. The templates used to apply to SCCF funding can be downloaded from the GEF website.¹⁰

FIGURE 1. GEF Agencies



⁸ http://www.thegef.org/gef/public_involvement

⁹ GEF guidelines are available online to assist in the selection of the appropriate agency according to its comparative advantage in climate change adaptation: http://www.thegef.org/gef/gef_agencies

¹⁰ <http://www.thegef.org/gef/guidelines%20templates%20PPG%20PIF%20PDF%20Endorsement>

FIGURE 2. SCCF Project Cycle – FULL-SIZED PROJECT (above \$1 Million Dollars)

• **Step 1. WHO: Project Proponent and Implementing Agency**

WHAT: Project Idea

- The proponent of the project – a government, NGO, or CBO entity from a non-Annex I Party – pursues a partnership with one of ten GEF Agencies and GEF Operational Focal Point endorsement of the project concept.
- Submission of the concept in Project Identification Form (PIF) to the GEF secretariat. A project preparation grant request can also be submitted at this stage.

WHO: GEF Secretariat and LDCF/SCCF Council

WHAT: Project Concept (PIF) Review

- The GEF Secretariat technically reviews the PIF. The GEF has a service standard of 10 business days for this stage. If the GEF Secretariat recommends the PIF, it is web-posted for the LDCF/SCCF Council (Otherwise, the project can be returned for revisions, or rejected, if ineligible.)
- The LDCF/SCCF Council has [4 weeks](#) to review the PIF prior to the Council meeting on the Work Program. Approval is granted on a no-objection basis.

• **Step 2. WHO: Project Proponent and Implementing Agency**

WHAT: Project Preparation

- Project preparation is expected to be completed as soon as possible, and no later than [18 months](#) from LDCF/SCCF Council PIF approval date.

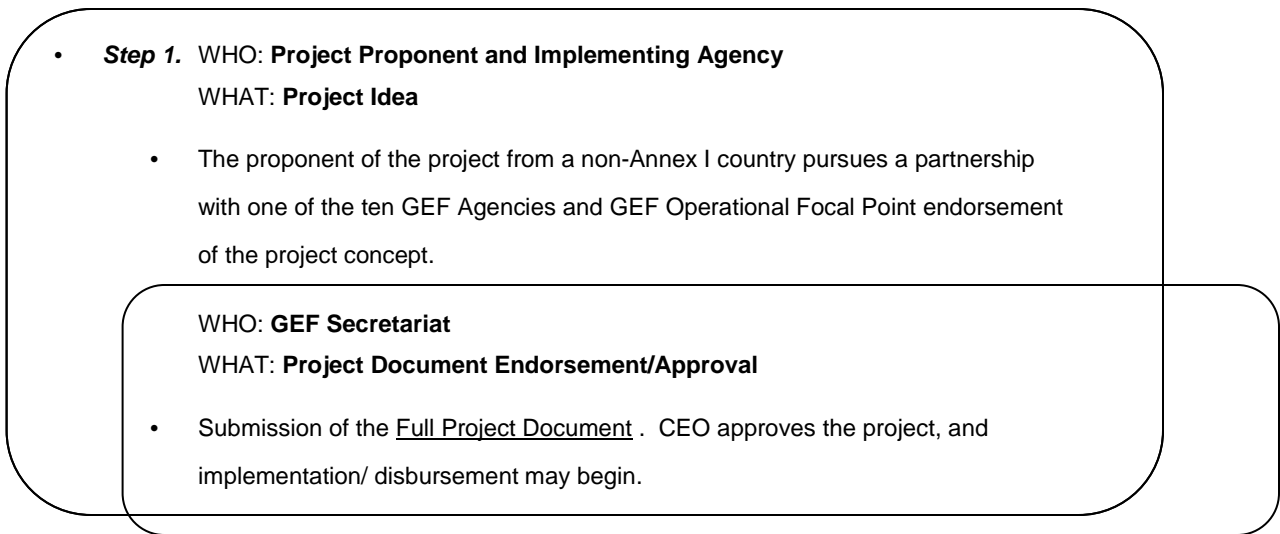
WHO: GEF Secretariat (and Council, if necessary)

WHAT: Project Document Endorsement/Approval

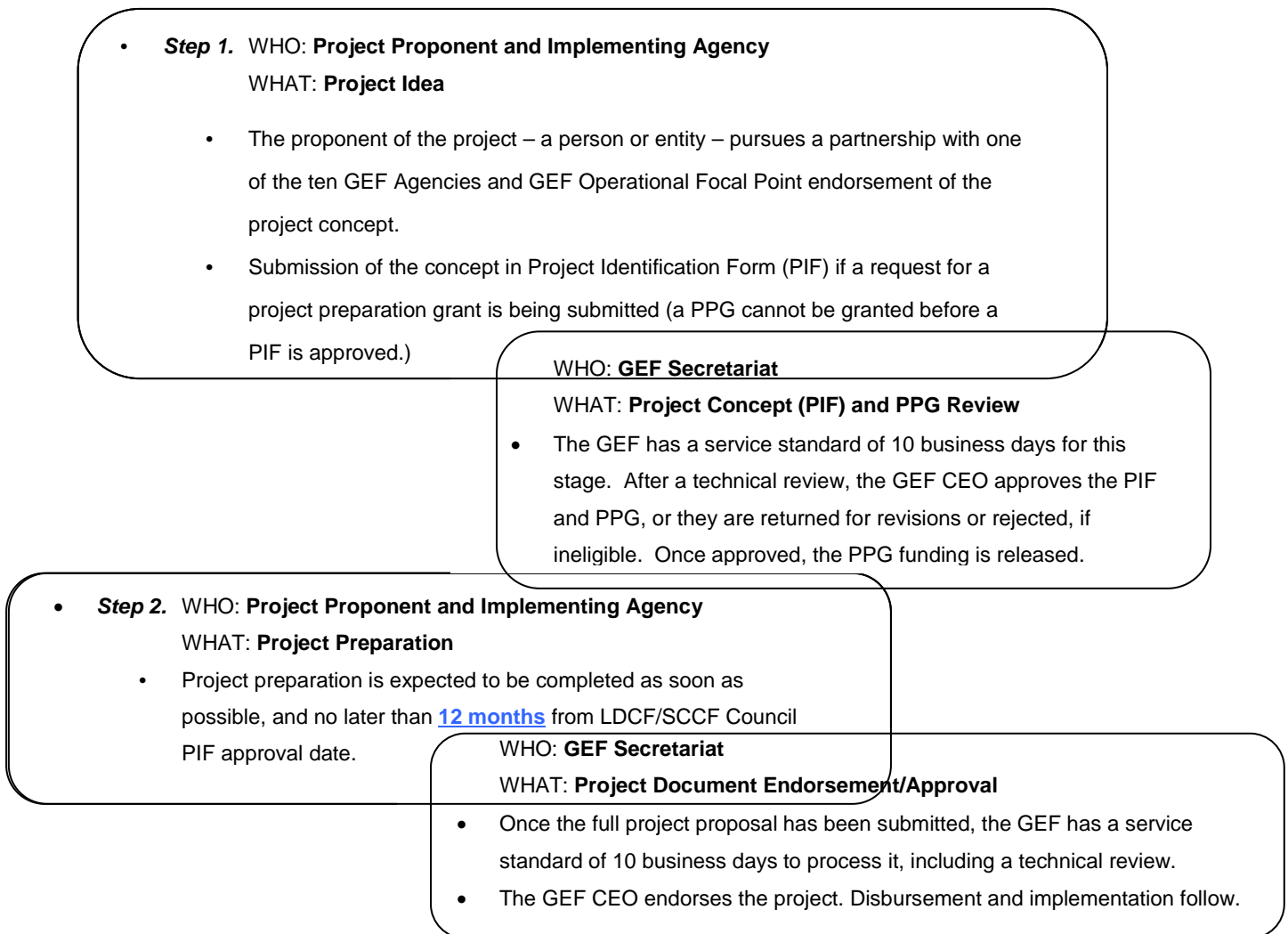
- Once the full project proposal has been submitted, the GEF has a service standard of 10 business days to process it, including a technical review.
- It is circulated to the Council **only if**:
 - *A Council Member has requested, at the time of the PIF approval, that the Secretariat circulate the final project document to the Council for review prior to endorsement; or*
 - *The GEF CEO has, upon review, determined that there have been major changes to the project scope and approach since PIF approval.*
- The GEF CEO endorses the project. Disbursement and implementation follow.

FIGURE 3. SCCF Project Cycle – MEDIUM-SIZED PROJECT (\$1 Million Dollars and below)

OPTION 1



OPTION 2



REPORTING REQUIREMENTS

20. Following the CEO endorsement of the project, the SCCF funding is ready to be released to the country through the Implementing Agency. The implementation of the project can begin.

21. The GEF Secretariat, in collaboration with its agencies, has developed a LDCF/SCCF Results Based Management Framework¹¹ in order to measure progress and results of the project. Therefore, the Implementing Agency is responsible for preparing specific reports during certain stages of the project.

22. During the course of the implementation, the Agency has the responsibility to submit Project Implementation Reports (PIRs) on an annual basis. The LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT) has been devised to assist in tracking project-specific outcome and output indicators, which are reported on in the annual PIR.

23. The LDCF/SCCF RBM applies to all adaptation projects funded under the SCCF, whether under the Adaptation (a) window, or Technology Transfer (b). Technology Transfer climate change mitigation projects follow the RBM to applies to GEF Trust Fund financed climate change mitigation projects.¹²

24. For Full-sized Projects only, a mid-term review is required as well. This report is normally more detailed than a PIR.

¹¹ http://www.thegef.org/gef/SCCF_Results

¹² <http://www.thegef.org/gef/node/1281> and http://www.thegef.org/gef/Results_Learning

25. The Agency is also required to submit a Terminal Evaluation to the GEF Evaluation Office (EO) within 12 months following the operational completion of the project.¹³

PROGRAMMATIC APPROACH

26. In the context of the SCCF, the programmatic approach to funding is a strategic, long-term arrangement of individual but interlinked projects aimed at achieving SCCF objectives, taking advantage of synergies and scale, in terms of achieving results.

27. The SCCF follows the GEF trust fund procedures for accessing programmatic resources. Details on the programmatic approach, including specifically the SCCF, can be found in the latest “GEF Project Cycle” council paper, available on the [GEF website](#).¹⁴

CRITERIA FOR SUBMISSION REVIEW

PIF CRITERIA FOR APPROVAL

28. In developing a PIF, the main idea of the project and how it fits in with related activities should be unfolded. Review criteria for the PIF are discussed below. The review process of the PIF ensures GEF reviewers an opportunity to seek clarifications from the Implementing Agency on any issues. Further deliberation can be carried out during the ensuing project preparation phase.

¹³ Guidelines on completing a Terminal Evaluation can be found at <http://www.thegef.com/gef/node/785>

¹⁴ <http://www.thegef.org/>

29. The review questions can be summarized in four categories of critical information that must be available in a PIF submission:

Basic project idea (adaptation benefit and additional cost argument for adaptation projects):¹⁵

- *What is the likely Business-as-Usual (BAU) development for the targeted sector, in the absence of climate change?*
- *What are the climate change vulnerabilities?*
- *With the SCCF investment, what are the specific adaptation activities to be implemented to increase the climate resilience of the baseline or BAU development activity?*

Fit with Countries priorities:

- *Does the project respond to the priorities identified in the National Communications and national and regional programs, plans such as NAPAs in the case of Least Developed Countries, and TNA if applicable?*

Implementation setup:

- *Who will implement the project and why (including comparative advantage of Implementing Agency/ies)?*
- *Is the project being coordinated with related projects and programs to avoid duplication of activities?*

Indicative budget and co-financing:

- *How will the project components be weighted in terms of budget and why?*

- *What levels and sources of co-financing (see next section for clarification on co-financing) is the project expecting?*

A list of review questions asked during the internal review process at the PIF level in the GEF Secretariat is available online.¹⁶

PROJECT CEO ENDORSEMENT/APPROVAL CRITERIA

30. As with the PIF, the review questions employed during the GEF's review of the project document can be summarized in four categories of critical information, which must be available in a CEO endorsement request submission:

Project idea and additional cost argument: *similar to the information provided at PIF stage (see section on PIF above), but with considerably more detail – especially in terms of specific adaptation activities for each of the project components, and how such activities will contribute to the overall objective of the project.*

Implementation setup: *Similar to the information provided at PIF stage (see section on PIF above), but with considerably more detail on the implementation and coordination arrangements.*

Indicative budget and co-financing: *Similar to the information provided at PIF stage (see section on PIF above), but with a detailed, itemized budget.*

Letters of endorsement for all co-financing (see next section for clarification on co-financing)

¹⁵ Mitigation projects under the SCCF need to follow the incremental cost principle and demonstrate the global/mitigation benefit, as they would if seeking funding under the GEF Trust Fund.

¹⁶ <http://www.thegef.org/gef/guidelines>

Monitoring and Evaluation Framework:

- *A clear description of the process and a timetable for the M&E process.*
- *A project strategic results framework identifying clear impact indicators, as well as baseline and target values, for each of the project's outcomes and outputs.*

31. If one or more of the critical information points is missing or insufficiently described in the CEO endorsement submission, the reviewer will be unable to provide clear answers to the review questions and would have to request that such information be provided by the Implementing Agency in a revised CEO endorsement submission. However, as long as the project proposal is conceptually and financially consistent with the proposal presented in the original PIF, the general eligibility of the project is not brought into question at this stage.

ADAPTATION COST AND CO-FINANCING

32. For its adaptation projects, the SCCF is aimed at financing the full cost of adaptation. In particular, it finances concrete adaptation actions that reduce vulnerability and increase adaptive capacity to the impacts of climate change. Yet, adaptation and development are closely linked. LDCF/SCCF programming papers and COP decisions have captured this with the following terms and concepts.

33. The full adaptation cost translates into the term "additional cost" in COP decisions and LDCF/SCCF programming papers. This concept is used to explain how the costs of adaptation are added to costs of

Business-as-Usual (BAU) development. BAU refers to activities that would be implemented also in absence of climate change. The full costs of adaptation are fully paid by the LDCF/SCCF.

34. Therefore, co-financing in the context of SCCF-funded adaptation projects is defined as the cost which would be incurred for BAU. This amount is considered the project's **baseline** and constitutes the co-financing; beyond that, the full cost of adaptation is the so-called **additional cost** and is paid out of the SCCF.

35. The rationale behind this concept of co-financing is to use the SCCF funds to catalyze adaptation to climate change in the context of a larger development intervention. In this case, co-financing can include development assistance (bilateral or multilateral), government budget lines, and NGO and community groups contributions, in cash/grant, loan, soft-loan, or in-kind form. Using SCCF financing to mainstream adaptation into large investment projects has the potential of having a greater impact, taking advantage of synergies and achieving the benefits of the economies of scale.

36. As the SCCF funds the full cost of adaptation, it can also fund standalone projects, provided that what is being financed are shown to be exclusively adaptation interventions, which are not linked to BAU development. Baseline investments are generally expected to be larger than those of the SCCF.

37. The budget breakdown ratios (i.e. proportion of funding going to TA components, vs. investment, vs. project management, etc.) for the SCCF activity may

be different from that of the baseline activity; however, clarifications need to be provided why this is necessary at PIF and/or CEO Endorsement stages.

Example 1 provides further clarifications on the concepts of adaptation cost and co-financing in the context of accessing financing from the SCCF under the Adaptation window (a). **Example 2** provides similar clarifications for a technology-transfer-for-adaptation project, for financing under the Technology Transfer window (b) of the SCCF, and also as an example of a programmatic approach to adaptation, discussed in the following section.

38. SCCF Technology Transfer projects that focus on mitigation follow the same principles as the technology transfer projects financed under the GEF Trust Fund.¹⁷

¹⁷ <http://www.thegef.org/gef/node/1281>

EXAMPLE 1. Business-As-Usual Co-financing and Adaptation Cost

This example takes a fictional Business-as-Usual irrigation project that could already be either in the planning/design stage or already under implementation, and shows how a climate change adaptation intervention, funded by the LDCF, could be developed. **In this example, a low-lying area in a coastal zone is dependent on agriculture that has, so far, relied on the exploitation of groundwater resources. However, this strategy is not sustainable, leading to the depletion and deterioration in the quality of water resources. The Government is, therefore, considering options to replace groundwater with surface water irrigation, and decides to request the assistance of a Multilateral Development Institution. Climate change, and its effects on future water resources, is not considered. The BAU Project Components are described under the Business-As-Usual column of this table. Even if implementation is underway, climate change adaptation could be applied to components 2 and 3. However, as this example demonstrates, the climate change intervention is generally most effective if incorporated in the earliest stage of the development intervention.**

	<i>Baseline/Business-As-Usual</i>	<i>with Climate Change</i>
Problem Description	To increase agricultural production in a low-lying delta, the Government has supported agricultural growth through exploitation of groundwater resources. However, with the rapid development there has been an excessive depletion of the groundwater reserves with a commensurate decrease in water quality. To resolve this problem, the Government has been reviewing options to replace groundwater with surface water irrigation.	Climate change is expected to decrease the availability of water, increase the sea level rise in this low-lying area, which will lead to soil and aquifer salinization (salt-water intrusion). To address this problem, the Government has requested the Implementing Agency to incorporate climate change adaptation considerations in the said irrigation project.
Project Components	Component No. 1: Design, Construction, and Operation of Surface Water System and Connection Program (US\$205M).	Incorporating climate change considerations may include a climate-resilient design, construction, and operation, such as ensuring adequate water amounts to counter climate change effects, planning and prioritizing areas to be irrigated based on climate-change considerations, and sizing the system in order to meet peak demand in summer months expected according to climate change scenarios. (US\$3M)
	Component No. 2: Market-Driven Technical Support to Small and Medium Scale Farmers (US\$2M)	Technical Support to Farmers on Climate Change, including sensitization of farmers, development of resilience-building strategies, such as income diversification, drought insurance, and water usage systems. (US\$0.7M)
	Component No. 3: Support for Institutional Development and Capacity Building of the Project Management Unit (PMU), Regulatory Office and Water Users Council (WUC) (US\$6M)	Support for Institutional Development and Capacity Building of the Project Management Unit, Regulatory Office and Water Users Council (WUC) specifically concerning climate change adaptation (US\$1 M)
Cost Financed by	<i>Business-As-Usual Development Cost</i> MDB, Donor Government, Ministry of Water Resources and Irrigation	<i>Additional Adaptation Cost</i> LDCF

“Co-financing”
Project Information for “PIF”
“LDCF financing”

EXAMPLE 2. Business-As-Usual Co-financing and Adaptation Cost: an integrated programmatic approach – For adaptation projects funded under the Technology Transfer (b) window

This example takes a group of fictional Business-as-Usual water-and-disaster risk management projects that could already be either in the planning/design stage or already under implementation, and shows how a cross-sectoral climate change adaptation program, funded by the SCCF under the Technology Transfer (b) window, could be developed. **In this example, a SCCF-eligible country is trying to sustainably use its scarce water resources, and manage occasional severe floods that result in damage. Climate change, and its effects on future water resources, is not considered. The BAU Project Components are described under the Business-As-Usual column of this table.**

In addition, climate change is projected to exacerbate the water scarcity and the damaging effects of the extreme hydrological events. The Government is, therefore, requesting the assistance of a Multilateral Development Institution in the state-of-art adaptation technology solutions, through a cross-sectoral adaptation program, to be financed under the SCCF. The technology transfer for adaptation interventions are carefully designed in coordination with the BAU and adaptation interventions, and are described under the “with Climate Change” column.

	<i>Baseline/Business-As-Usual</i>	<i>with Climate Change</i>
Problem Description	<p>The Government of an arid and water scarce country is facing the prospect of diminishing water resources due to the combined effects of a rapidly expanding population and a lack of surface and ground water sources to support the demands of the population and the economy.</p> <p>Meanwhile, specific areas of this country are susceptible to periodic intense rainfall, which occasionally results in flooding and causes moderate damage to property.</p> <p>The government has therefore undertaken a national program to promote more efficient use of water resources for agricultural, industrial and domestic uses. The government is also interested in achieving the dual goals of increasing water security through rain harvesting and managing the disaster aspect of these extreme weather events.</p>	<p>Climate change is expected to decrease precipitation and thus further limit the availability of high quality fresh water through both surface and ground water sources. Furthermore, regional models predict a substantial increase in the frequency and intensity of extreme weather events.</p> <p>The government has begun a long term plan to mainstream climate change adaptation into key sector plans and policies for the water and agriculture sector including its national program for water efficiency.</p> <p>To resolve this problem, the Government has been reviewing options to use low quality water sources for agricultural, industrial, and potentially domestic purposes. Furthermore, the Ministry of Water is cooperating with the Ministry of Spatial Planning and Public Works in exploring technologies that would allow the harvesting of the water through changes in hydrology needed to avoid potential casualties and heavy economic damage to investments due to floods in the future.</p> <p>The Government has thus requested the Implementing Agency to implement a program in technology transfer in order to achieve adaptation goals.</p>



<i>Cost</i>	<i>Business-As-Usual Development Cost</i>	<i>Additional Adaptation Cost</i>
Program Components	<p>Project: Investments in various water efficiency measures through the national program for increased water efficiency This includes water pricing systems in urban areas, management frameworks for prioritization of limited water resources in rural areas, improved efficiency of water infrastructure, promotion of less water intensive crops in the agriculture sector, protection of key reservoirs etc. (US\$100M)</p> <p>Project: Training of farmers and extension staff in efficient management of water resources for agriculture through the national program for water efficiency (US\$5M)</p> <p>Project: Construction of flood control structures -- large open and box culverts placed to channel flash floods, originating in the mountains immediately behind the city, towards an wide agricultural plain downstream of the urban development. (US\$70M)</p> <p>Project: Capacity building and training for national and regional institutions responsible for implementing the national program for increased water efficiency (US\$1M)</p> <p>Project: Capacity Building for Local Councils including Technical Assistance and Local Council Equipment and Infrastructure (US\$0.7M)</p> <p>Project: Development of early warning system for disaster risk management (US\$1.2M)</p>	<p>Project: Pilot installment of the innovative technology – a technology which allows the use of e.g. sea water and sewage for irrigation through one-way membranes in sub-surface pipes installed in the field - on a limited number of representative fields, and training of farmers and extension staff in the efficient management of water resources (US\$4M)</p> <p>Project: Piloting and promoting appropriate water efficiency and recycling technologies for the agriculture and industrial sectors (US\$2M)</p> <p>Project: Extension and elaboration of flood control structures according to projected climate change (US\$2)</p> <p>Project: Construction of water retention basins to store the runoff channeled by the culverts, accommodating the necessary capacity according to projected climate change. (US\$3)</p> <p>Project: Practical training of local farmers and technical staff in installation, use and maintenance of the system using low-cost locally available resources (US\$0.5M)</p> <p>Project: Promotion of drought-resistant/water-efficient crops (US\$0.5)</p> <p>Project: Awareness raising and field visits for key national and regional stakeholders to showcase the technology and its potential as an adaptation measure for the agricultural sector (US\$0.3M)</p> <p>Project: Development of a state-of-art early warning system and precipitation forecasting system for water resource harvesting purposes. (US\$0.8M)</p>
Financed by	MDB, Donor Government, Ministry of Water Resources and Irrigation, Ministry of Agriculture.	SCCF



PROJECT IDENTIFICATION FORM (PIF) ¹
PROJECT TYPE: (choose project type) ²
TYPE OF TRUST FUND: (choose fund type)

PART I: PROJECT IDENTIFICATION

Project Title:		GEF Project ID: ²	
Country(ies):		GEF Agency Project ID:	
GEF Agency(ies):	(select) (select) (select)	Submission Date:	
Other Executing Partner(s):		Project Duration(Months)	
GEF Focal Area (s):	(select)	Agency Fee (\$):	
Name of parent program (if applicable): > For SFM/REDD+ <input type="checkbox"/>			

A. FOCAL AREA STRATEGY FRAMEWORK³:

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Indicative Financing from relevant TF (GEF/LDCF/SCCF) (\$)	Indicative Cofinancing (\$)
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)				
(select) (select)	Others			
Project management cost ⁴				
Total project costs			0	0

¹ It is very important to consult the PIF preparation guidelines when completing this template.
² Project ID number will be assigned by GEFSEC.
³ Refer to the reference attached on the Focal Area Results Framework when filling up the table in item A.
⁴ GEF will finance management cost that is solely linked to GEF financing of the project.

B. PROJECT FRAMEWORK

Project Objective: <input type="text"/>					
Project Component	Grant Type (TA/IN V)	Expected Outcomes	Expected Outputs	Indicative Financing from relevant TF (GEF/LDCF/SCCF) (\$)	Indicative Cofinancing (\$)
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Project management Cost ²				<input type="text"/>	<input type="text"/>
Total project costs				0	0

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

Sources of Cofinancing for baseline project	Name of Cofinancier	Type of Cofinancing	Amount (\$)
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
(select)	<input type="text"/>	(select)	<input type="text"/>
Total Cofinancing			0

² Same as footnote #3.

D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal area	Country name/Global	Project amount (a)	Agency Fee (b) ²	Total c=a+b
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				0	0	0

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table

² Please indicate fees related to this project.

PART II: PROJECT JUSTIFICATION

- A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**
- A.1.1 THE GEF FOCAL AREA STRATEGIES:** [REDACTED]
 - A.1.2. FOR PROJECTS FUNDED FROM LDCF/SCCF: THE LDCF/SCCF ELIGIBILITY CRITERIA AND PRIORITIES:** [REDACTED]
 - A.2. NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSMENTS UNDER RELEVANT CONVENTIONS, IF APPLICABLE, I.E. NAPAS, NAPS, NBSAPS, NATIONAL COMMUNICATIONS, TNAs, NIPs, PRSPs, NPFE, ETC.:** [REDACTED]
- B. PROJECT OVERVIEW:**
- B.1. DESCRIBE THE BASELINE PROJECT AND THE PROBLEM THAT IT SEEKS TO ADDRESS:** [REDACTED]
 - B.2. INCREMENTAL /ADDITIONAL COST REASONING: DESCRIBE THE INCREMENTAL (GEF TRUST FUND) OR ADDITIONAL (LDCF/SCCF) ACTIVITIES REQUESTED FOR GEF/LDCF/SCCF FINANCING AND THE ASSOCIATED GLOBAL ENVIRONMENTAL BENEFITS (GEF TRUST FUND) OR ASSOCIATED ADAPTATION BENEFITS (LDCF/SCCF) TO BE DELIVERED BY THE PROJECT:** [REDACTED]
 - B.3. DESCRIBE THE SOCIOECONOMIC BENEFITS TO BE DELIVERED BY THE PROJECT AT THE NATIONAL AND LOCAL LEVELS, INCLUDING CONSIDERATION OF GENDER DIMENSIONS, AND HOW THESE WILL SUPPORT THE ACHIEVEMENT OF GLOBAL ENVIRONMENT BENEFITS (GEF TRUST FUND) OR ADAPTATION BENEFITS (LDCF/SCCF). AS A BACKGROUND INFORMATION, READ MAINSTREAMING GENDER AT THE GEF.":** [REDACTED]
 - B.4 INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS THAT MIGHT PREVENT THE PROJECT OBJECTIVES FROM BEING ACHIEVED, AND IF POSSIBLE, PROPOSE MEASURES THAT ADDRESS THESE RISKS TO BE FURTHER DEVELOPED DURING THE PROJECT DESIGN:** [REDACTED]
 - B.5. IDENTIFY KEY STAKEHOLDERS INVOLVED IN THE PROJECT INCLUDING THE PRIVATE SECTOR, CIVIL SOCIETY ORGANIZATIONS, LOCAL AND INDIGENOUS COMMUNITIES, AND THEIR RESPECTIVE ROLES, AS APPLICABLE:** [REDACTED]
 - B.6. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:** [REDACTED]
- C. DESCRIBE THE GEF AGENCY'S COMPARATIVE ADVANTAGE TO IMPLEMENT THIS PROJECT:** [REDACTED]
- C.1 INDICATE THE CO-FINANCING AMOUNT THE GEF AGENCY IS BRINGING TO THE PROJECT:** [REDACTED]
 - C.2 HOW DOES THE PROJECT FIT INTO THE GEF AGENCY'S PROGRAM (REFLECTED IN DOCUMENTS SUCH AS UNDAF, CAS, ETC.) AND STAFF CAPACITY IN THE COUNTRY TO FOLLOW UP PROJECT IMPLEMENTATION:** [REDACTED]

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

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address



REQUEST FOR PROJECT PREPARATION GRANT (PPG)
 PROJECT TYPE: (choose project type) ¹
 THE LEAST DEVELOPED COUNTRIES FUND FOR CLIMATE CHANGE
 (LDCF)¹

Submission date: []

GEFSEC PROJECT ID²: []
 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)				
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.



GEF

REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: **(choose project type)** ¹

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

Submission Date:

PART I: PROJECT INFORMATION

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

Expected Calendar (mm/dd/yy)	
Milestones	Dates
Work Program (for FSP)	<input type="text"/>
Agency Approval Date	<input type="text"/>
Implementation Start	<input type="text"/>
Mid-term Review (if planned)	<input type="text"/>
Project Closing Date	<input type="text"/>

A. PROJECT FRAMEWORK



Project Objective: <input type="text"/>									
Project Components	Indicate whether Investment, TA, or STA ^b	Expected Outcomes	Expected Outputs	LDCF Financing ^a		Co-financing ^a		Total (\$) c = a+b	
				(\$) ^a	%	(\$) ^b	%		
1.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
4.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
5.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
6.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
7. Project management	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
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. SOURCES OF CONFIRMED CO-FINANCING FOR THE PROJECT (expand the table line items as necessary)

Name of Co-financier (source)	Classification	Type	Project	%*
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
<input type="text"/>	(select)	(select)	<input type="text"/>	<input type="text"/>
Total Co-financing			B0	100%

* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

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

C. CONFIRMED FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	Project Preparation Amount (a)	Project (b)	Total c = a + b	Agency Fee	For comparison: LDCF Grant and Co-financing at PIF
GEF financing		A			
Co-financing		B			
Total	0	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.

E. PROJECT MANAGEMENT BUDGET/COST

Cost Items	Total Estimated person weeks/months	LDCF (\$)	Co-financing (\$)	Project total (\$)
Local consultants*				
International consultants*				
Office facilities, equipment, vehicles and communications*				
Travel*				
Total	0	0	0	0

* Details to be provided in Annex C.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Estimated person weeks	LDCF(\$)	Co-financing (\$)	Project total (\$)
Local consultants*				
International consultants*				
Total	0	0	0	0

* Details to be provided in Annex C.

G. DESCRIBE THE BUDGETED M&E PLAN: [REDACTED]

PART II: PROJECT JUSTIFICATION

A. DESCRIBE THE PROJECT RATIONALE AND THE EXPECTED MEASURABLE ADAPTATION BENEFITS: [REDACTED]

A. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL/REGIONAL PRIORITIES/PLANS: [REDACTED]

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH LDCF ELIGIBILITY CRITERIA AND PRIORITIES: [REDACTED]

C. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES: [REDACTED]

D. DESCRIBE ADDITIONAL COST REASONING: [REDACTED]

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

F. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN: [REDACTED]

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. PROJECT IMPLEMENTATION ARRANGEMENT: [REDACTED]

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF: [REDACTED]

PART V: AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with LDCF policies and procedures and meets the LDCF criteria for project endorsement.					
Agency Coordinator, Agency name	Signature	Date <i>(Month, day, year)</i>	Project Contact Person	Telephone	Email Address
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

ANNEX A: PROJECT RESULTS FRAMEWORK



ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, Responses to Comments from the Convention Secretariat made at PIF)



ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT

<i>Position Titles</i>	<i>\$/ person week*</i>	<i>Estimated person weeks**</i>	<i>Tasks to be performed</i>
For Project Management			
Local			
International			
Justification for Travel, if any:			
For Technical Assistance			
Local			
International			
Justification for Travel, if any:			

* Provide dollar rate per person weeks or months as applicable; ** Total person weeks/months needed to carry out the tasks.

ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS

- A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.
- B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY.
- C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>LDCF Amount (\$)</i>				<i>Co- financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To- date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
Total		0	0	0	0	0

* Uncommitted amount should be returned to the LDCF Trust Fund. Please indicate expected date of refund transaction to Trustee.

Decision 5/CP.9

Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund

The Conference of the Parties,

Recalling the relevant provisions of, in particular, Article 4, paragraphs 1, 3, 4, 5, 7, 8, 9 and 10, and Article 11, of the Convention,

Recalling also its decisions 4/CP.7, 5/CP.7, 7/CP.7 and 7/CP.8,

Noting the views of Parties on prioritized activities, programmes and measures to be funded under the Special Climate Change Fund,

Stressing the importance of bilateral and multilateral funding in support of the implementation of activities, programmes and measures in the climate change area,

Noting that the Special Climate Change Fund supports the implementation of the Convention, contributes to the achievement of the World Summit on Sustainable Development and the Millennium Development Goals, and contributes to the integration of climate change considerations into development activities,

1. *Decides* that:

(a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;

(b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;

(c) Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;

(d) Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund;

2. *Decides also* that the implementation of adaptation activities shall be supported through the Special Climate Change Fund, taking into account national communications or national adaptation programmes of action, and other relevant information provided by the applicant Party, and include:

(a) Implementation of adaptation activities where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;

(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early warning systems, and in this context improving disease control and prevention;

(c) Supporting capacity-building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;

(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;

3. *Decides further* that resources from the Special Climate Change Fund shall be used to fund technology transfer activities, programmes and measures that are complementary to those currently funded by the Global Environment Facility taking into account national communications or any other relevant documents in accordance with decision 4/CP.7 and its annex containing the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, in the following priority areas:

- (a) Implementation of the results of technology needs assessments;
- (b) Technology information;
- (c) Capacity-building for technology transfer;
- (d) Enabling environments;

4. *Decides further* that activities under paragraph 2 (c) and (d) in decision 7/CP.7 are also to be funded by the Special Climate Change Fund and to this effect invites Parties to submit to the secretariat, by 15 September 2004, further views on activities, programmes and measures in these areas for further consideration by the Subsidiary Body for Implementation, at its twenty-first session, in order for the Conference of the Parties to take a decision on this matter at its tenth session;

5. *Requests* the entity entrusted with the operation of the fund to arrange expedited access to the Special Climate Change Fund in keeping with current practices of the Global Environment Facility, taking into account the need for adequate resources to implement eligible activities, programmes and measures;

6. *Invites* the entity entrusted with the operation of the Special Climate Change Fund to make the necessary arrangements to mobilize resources to make the fund operational without delay;

7. *Requests* the entity referred to in paragraph 5 above to include in its report to the Conference of the Parties, at its tenth session, the specific steps it has undertaken to implement this decision.

*9th plenary meeting
12 December 2003*

ANNEX V -- GLOSSARY OF TERMS

The Global Environment Facility (GEF) is the managing body of the SCCF and LDCF funds. 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, ten Agencies, a Scientific and Technical Advisory Panel (STAP), and the Independent Office of Monitoring and Evaluation.

A **GEF Operational Focal Point (OFP)** is designated by each country that receives GEF funding, 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 and facilitating GEF coordination, integration, and consultation at the country level.¹⁸

The **LDCF/SCCF Council** is the main governing body of the SCCF. It functions as an independent board of directors, with primary responsibility for developing, adopting, and evaluating SCCF policies and programs. It is comprised of 32 members who represent GEF member countries, 14 from donor constituencies and 18 from recipient constituencies. As decisions are made by consensus, two-thirds of the Members of the Council constitute a quorum.

The **Chief Executive Officer (CEO)/ Chairperson** of the GEF heads the **GEF Secretariat**, which coordinates the implementation of SCCF projects and programs, as well as the formulation of policies and operational strategies.

The GEF **Secretariat** coordinates the overall implementation of GEF activities. It services and reports to the Assembly and the Council. The Secretariat is headed by the **Chief Executive Officer (CEO)**, who is appointed to serve for three years, and may be reappointed by the Council.

The GEF **Agencies** are the operational arm of the GEF. The GEF develops its projects through ten Implementing Agencies: the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) the World Bank, the African Development Bank (AfDB), the Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IAD), the International Fund for Agricultural Development (IFAD), the United Nations Food and Agricultural Organization (FAO), and the United Nations Industrial Development Organization (UNIDO).

The **Scientific and Technical Advisory Panel (STAP)** provides independent advice to recommend to the GEF on scientific and technical aspects of programs and policies. The members of STAP are appointed by the Executive Director of UNEP, in consultation with the GEF's CEO, the Administrator of UNDP, and the President of the World Bank.

¹⁸ http://www.gefcountrysupport.org/report_detail.cfm?projectId=172

The **Independent Office of Monitoring and Evaluation** (M&E) provides a basis for decision-making on amendments and improvements of policies, strategies, program management, procedures and projects; promotes accountability for resource use against project objectives; and documents and provides feedback to subsequent activities, and promote knowledge management on results, performance and lessons learned.

The **GEF Focal Points** (Country Representatives) are government officials, designated by member countries, responsible for GEF activities and to ensure that GEF projects are country-driven and based on national priorities. The complete list of GEF Focal Points, including name, position, government agency, complete address, phone, fax and e-mail, can be accessed at: http://www.thegef.org/gef/focal_points_list

The **Project partners** are organizations and entities implementing projects on the ground, including governments, national institutions, international organizations, local communities, non-governmental organizations, academic and research institutions and private sector entities¹⁹.

Government agencies, NGOs, communities, associations, etc. are examples of **stakeholders** of any given GEF project. Extensive consultations with the stakeholder groups are advised, starting with the project planning stage.

A [Project Identification Form \(PIF\)](#) is a short (maximum 4 pages) description of a project concept that is used by the GEF to determine whether or not the project meets certain basic criteria. If these criteria are met, the project is included in the GEF pipeline i.e., funds are allocated to the project to cover total project costs (funds are not committed until CEO endorsement).

A [Project Preparation Grant \(PPG\)](#) is a small amount of funds that can be utilized to cover partial project preparation costs incurred by the project proponent

¹⁹ <http://www.climatefundupdate.org/listing/least-developed-countries-fund>