

Addressing Vulnerability: An evaluation of UNDP programming for climate change adaptation

Terms of Reference

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I. Introduction

The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) is undertaking an evaluation of UNDP assistance to countries on climate change adaptation. Its objective is to evaluate UNDP achievements and performance in helping partner countries reduce climate-related risks and adapt to new climate conditions. The evaluation is part of the IEO workplan (CP/2018/4), approved by the Executive Board in January 2018.

In discussing climate change adaptation, the evaluation adheres to the definition set out in the UN Framework Convention in Climate Change: “Adaptation refers to adjustments in ecological, social, or economic systems in response to actual or expected climatic stimuli and their effects or impacts. It refers to changes in processes, practices, and structures to moderate potential damages or to benefit from opportunities associated with climate change.”¹

IEO last considered UNDP support to disaster risk reduction and recovery in 2010, and last looked at the UNDP climate programme in 2008. UNDP has since restructured and expanded its disaster risk reduction and climate change adaptation support, with financing for UNDPs work on climate change adaptation expanding by 50 per cent, especially via Global Environment Facility funding, and the launch of the Green Climate Fund. In addition to looking broadly at UNDPs climate change adaptation offer, the evaluation will focus on support to countries that are especially vulnerable to climate shocks, with an emphasis on small island developing states.

The purpose of the evaluation is to strengthen UNDP accountability to global and national development partners, including the UNDP Executive Board and to support organizational learning and improved aid delivery.

¹ unfccc.int/topics/adaptation-and-resilience/the-big-picture/what-do-adaptation-to-climate-change-and-climate-resilience-mean

II. Background

Risk, vulnerability and the impact of climate change:

In October 2018 the International Panel on Climate Change (IPCC) issued a special report which stated that:

Human activities are estimated to have caused approximately 1.0°C of global warming above pre-industrial levels, with a likely range of 0.8°C to 1.2°C. Global warming is likely to reach 1.5°C between 2030 and 2052 if it continues to increase at the current rate.

The report makes clear that such a warming trend will have ‘rapid and far reaching’ impacts on land, energy, industry, buildings, transport and cities.² Sea levels are rising, eroding or destroying coastal infrastructure, and inundating low lying coastal areas and countries. Increasing aridity in drylands is driving desertification, exacerbating social tensions and intensifying violent conflict and human migration.

The most important action the world can take to prevent the worst possible consequences of climate change from materialising is to reduce the scale of warming. However, even with the most optimistic projections for mitigation outcomes, countries will still have to make significant adjustments to the consequences of projected warming, a process that is already underway. Underlining the importance of investing in climate resilience, the Global Commission on Adaptation, has estimated that every \$1 invested in adaptation could result in benefits worth \$2–\$10.³

Support for adaptation, especially for the poorest and most vulnerable countries, will be a critical part of the global response to global warming. While no country in the world will be insulated from the consequences of global warming, some countries have a particularly high exposure. This is especially apparent in the case of some Small Island Developing States, where rising sea levels pose an existential threat. Beyond questions of exposure, it has been shown that poor countries and the poor communities within countries are more vulnerable to global warming than richer ones. If smart choices are not made now, climate change will exacerbate and further entrench inequalities both within and between countries.

UNDP support for climate change adaptation

Given the lack of clear definitions surrounding the scope of climate change adaptation assistance, it is not possible to precisely define the scope of UNDP support in the area. According to the data collected by the Organisation for Economic Cooperation and Development (OECD), which has established a system of markers to enable the identification of climate related development assistance, UNDP was the channel of delivery for roughly \$1.5 billion of climate change adaptation assistance between 2010 and 2017.⁴

The work UNDP has done with this funding has been in five different focus areas. Close to one half has been focussed on environmental protection, including policy development, biodiversity protection and flood protection. Other major areas of focus are agriculture, forestry, fisheries and food security, water resource management, disaster prevention and emergency response and reconstruction (see Figure 1).

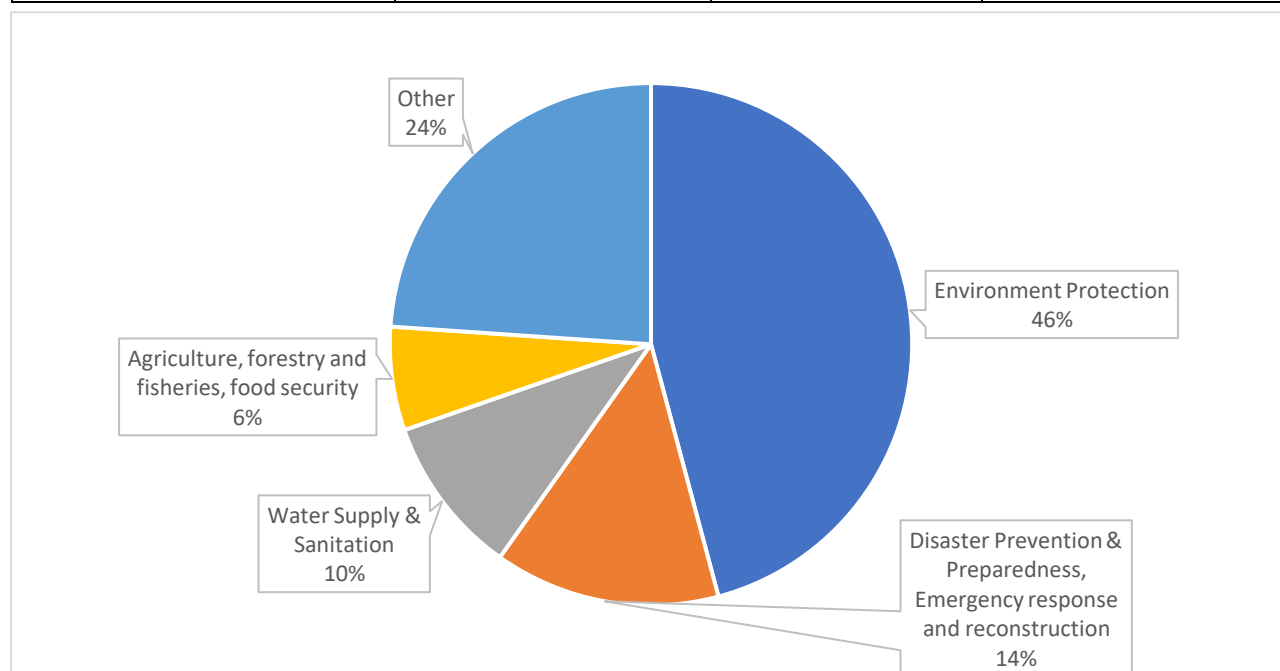
² <https://www.un.org/en/sections/issues-depth/climate-change/>

³ Global Commission on Adaptation. 2019. *Adapt Now: A Global Call for Leadership on Climate Resilience*. Rotterdam, The Netherlands: Global Center on Adaptation, and Washington, DC: World Resources Institute.

⁴ For purposes of this evaluation, the OECD data is being used rather than the UNDP’s internal programme database, as it provides a better comparative breakdown of types of climate change adaptation-related support and the sectoral composition of the work undertaken. The OECD figures are broadly consistent with UNDP’s own data.

Figure 1. Official development assistance commitments delivered through UNDP, with climate change adaptation as a significant or principal objective 2010-2017 (\$,000)

Row Labels	Significant	Principal	Grand Total
Agriculture, forestry, fisheries, food security	\$73,139	\$17,658	\$90,797
Disaster Prevention, Preparedness, Emergency response, reconstruction	\$133,627	\$60,804	\$194,431
Environment Protection	\$303,256	\$330,192	\$633,448
Other	\$237,357	\$80,244	\$317,601
Water Supply & Sanitation	\$66,136	\$71,211	\$137,346
Grand Total	\$813,515	\$560,109	\$1,373,624



Source: OECD Creditor Reporting System.

Reflecting the focus of UNDP programming, the evaluation will assess UNDP’s work in five key policy domains⁵ namely: i) Agriculture, forestry, fisheries, food security; ii) Disaster Prevention and Preparedness (including recovery) & Emergency Response and Reconstruction; iii) Environmental protection and conservation; and iv) Water, Supply and Sanitation. The importance of the impacts of global warming, and the focus of UNDP’s support in each of these areas will be subject to expert review and portfolio analysis at the inception of the evaluation.

Small Island Developing States

⁵ The five domains were identified as the groupings that best describe the focus of UNDP’s support for climate resilience. Not included here is an “other” category, which groups together a diversity of areas where UNDP’s support has been small. The evaluation will also consider work undertaken in this category, especially where it has a strategic importance.

For some 680 million people living in low lying coastal communities, climate change represents an existential challenge.⁶ Around 10 per cent of these (65 million) live in Small Island Developing States (SIDS), a group of 58 countries that share a common set of vulnerabilities. These vulnerabilities arise from characteristics such as small size and geography, limited tax base, high costs of service delivery, and high exposure to natural hazards. As a result, SIDS typically have a high vulnerability to environmental and economic shocks, and climate adaptation costs are among the highest in the world for SIDS when measured as a proportion of national output. Data on economic losses from natural hazards show that small island states bear particularly high costs, greater than one per cent of GDP in many cases, and as much as eight per cent in extreme cases.⁷ The world risk index suggests that eight of the 15 countries with the highest exposure levels worldwide are island nations and the remaining seven are located by the sea.

UNDP has a substantial portfolio of projects in SIDS in all regions and is an important provider of assistance to them on climate change adaptation strategies and preparatory work.

Given these factors, the evaluation will have a special focus on UNDP's support for small island developing states (SIDS).

III. Scope of the evaluation

Scope

Given that adaptive capacity is a function or outcome of interrelated economic, social, institutional, and technological conditions that facilitate or constrain adaptation measures, climate change adaptation is a potentially all-encompassing concept, like sustainable development.⁸

While recognising adaptation is a whole of society concern, this evaluation has a much narrower scope than is implied by that definition. Given the determinants of adaptive capacity are so broad, it could be construed that most of UNDP development support aims to build this, and it would be neither practical nor useful to cover such a broad scope in the context of one evaluation. The scope of this evaluation covers UNDP activities that *directly* contribute to climate change adaptation. In practical terms, our expectation is that an adaptation objective will be apparent in project documentation and that there will be specific measures advanced that target this objective. This approach is consistent with the approach developed by the Organisation for Economic Cooperation and Development for tracking climate related finance.⁹

The scope of the evaluation excludes mitigation support. The exclusion of mitigation support, despite its critical importance, recognizes that there are fundamental differences in the drivers for mitigation and adaptation and strategies to address them. Logically, international development assistance that is focused on reducing emissions should focus efforts on countries that contribute the most emissions. By way of

⁶ https://www.ipcc.ch/site/assets/uploads/sites/3/2019/11/03_SROCC_SPM_FINAL.pdf

⁷ IPCC, 2012: Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. A Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change [Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, and P.M. Midgley (eds.)]. Cambridge University Press, Cambridge, UK, and New York, NY, USA, 582 pp

⁸ Smit, B. and Pilifosova, O. 'Adaptation to Climate Change in the Context of Sustainable Development and Equity', in: IPCC (2001), CLIMATE CHANGE 2001: IMPACTS, ADAPTATION, AND VULNERABILITY.

⁹ <http://www.oecd.org/dac/financing-sustainable-development/development-finance-topics/climate-change.htm>

contrast, adaptation finance should logically focus on those countries that are most exposed to the effects of climate change, recognizing that adaptation finance is a compensation mechanism from developed to developing nations. For many of these countries, emissions are negligible, and are likely to remain so for some time.

Evaluation Questions

The following overarching questions frame the evaluation:

Context

- How has global attention and action on climate change adaptation evolved over the past decade, considering the evolving science and extensive body of international agreements? What are the implications for UNDP?

UNDP Service Offering

- How has UNDP's climate change adaptation programme been structured to support countries on meeting their UNFCCC, Sendai Framework and SDG 13 obligations?
- Do UNDP's strategies, corporate policies and resources provide it with the capacity to be a leading development organization in climate change adaptation? What challenges will it need to overcome to achieve this objective?
- How has UNDP structured its climate change adaptation support to SIDS considering their vulnerabilities?

Strategy

- What are the strengths and weaknesses of UNDP's business model in positioning UNDP to support adaptation in different contexts? Are there clear differences in strategy that reflect differences in vulnerability, in terms of positioning on the income spectrum (LICs/LDCs through to HICs) and other characteristics (crisis/SIDS status)?
- Does UNDP's business model strike a clear balance its 2030 Agenda pledge to "leave no one behind" and "endeavour to reach the furthest behind first" with the objective of maintaining a universal presence, acting as an integrator, and operational backbone in the UN system?
- Are UNDP's programmes strategic, in the sense of individually or collectively targeting the most important areas or issues for adaptation?
- Do UNDP's programmes – either independent of or in concert with others – demonstrate a clear intent to influence policies and systems at scale? Are UNDP's efforts sustained over a sufficient time period to produce higher-level results?
- Is UNDP collaborating effectively with other United Nations partners and international organisations in its climate change adaptation support? How is UNDP engaging with the private sector to assist countries on climate change adaptation?
- To what extent has UNDP considered gender aspects in its work in support of climate change adaptation?

Results

- How is UNDP contributing to improved climate change adaptation of partner governments, and achievement of their adaptation goals? In what areas are achievements observable? In what areas have results been more elusive?

- Do UNDP’s monitoring systems adequately capture the nature and scope of UNDP’s influence? Can we be confident about the effectiveness of UNDP’s contributions towards desired policy and systems changes?
- How can UNDP better support partner governments to overcome their climate change adaptation challenges?

IV. Implementation & methods

The following activities will be carried out to build evidence in response to these questions:

Portfolio review, with sampling of programmes and projects, balanced to cover the work UNDP does to address different types of threats, in different geographic regions and countries in different income categories, with special emphasis on SIDs. The evaluation will seek to supply a balanced coverage of UNDP’s work in different geographic regions and countries in different income categories and vulnerability levels, and in the different sectors where adaptation support has been provided based on the data contained in Annex 2. Countries shown in blue in this table are ones where 2019 and 2020 Independent Country Programme Evaluations (ICPE’s) have been conducted. These will be a key source of information about the effectiveness of UNDP’s climate change adaptation work in different contexts, and of implementation challenges.

Geo-spatial analysis, mapping the coverage of UNDP climate change adaptation programming, and conveying the extent of UNDP support in areas with high vulnerability.

Expert review and synthesis of evidence, to capture the best current thinking on the challenge of reducing disaster risk and adapting to climate change, considering geographic and financial implications. Evidence will be gathered from available documentation, and through virtual interviews and focus groups, with a wide array of UNDP partners and stakeholders.

Field missions will be severely limited due to the COVID-19 pandemic. The collection of evidence on specific country cases will be done virtually unless, or until, travels are again possible prior to the completion of this evaluation. Evidence will be collected to better understand the focus and impacts of UNDP’s work on climate change adaptation in highly vulnerable countries. There may be a few opportunities to enlist national consultants to obtain data and evidence that cannot be obtained remotely, and to undertake deeper analysis of specific aspects of UNDP programming.

Based on the analysis of evidence collected and triangulated, the IEO Evaluation Team will prepare a **comprehensive evaluation report** covering the issues outlined in this term of reference; and **an Executive Board Paper** comprising key findings, conclusions, lessons and recommendations.

V. Timing and deliverables

The evaluation report is planned for presentation at the UNDP Executive Board in January 2021.

Evaluation Timeframe	
Activity	Deadline
Terms of reference	
Dissemination of terms of reference for feedback	April 2020
Finalisation of terms of reference	May 2020
Data Collection and Validation	
Data collection and validation	March – July 2020

Analysis, report writing, quality review and debrief	
Analysis and Synthesis	July - September 2020
IEO internal Review	October 2020
Management Review & Board Presentation	
Management review & response	October - November 2020
Final report to the Executive Board	November 2020
Board presentation	January 2021

VI. Evaluation Management Arrangements

The UNDP IEO is conducting the evaluation and leading the evaluation team. IEO's Chief of Corporate Evaluation, Alan Fox, will oversee and provide broad strategic direction the evaluation, ensure a thorough internal and external review process of both the methodology and draft and final reports, and complete a component focussed on adaptation in the water sector. The evaluation will be led by IEO Senior Evaluation Adviser, David Slattery who will manage the day to day conduct of the evaluation, including liaison with UNDP management and programme units, relevant agencies at headquarters and regional institutions and ensure the evaluation is conducted in accordance with the Code of Conduct for Evaluation in the United Nations System. The IEO evaluation specialist Harvey Garcia rounds out the internal IEO team, providing support for evaluation project management, and recruitment and coordination of the work of external consultants, and management of a consultant has been retained to provide research support. Three external consultants have been hired to focus on specific climate change and disaster risk reduction policy areas.

Regional bureaux, regional hubs in the five regions, country offices, the Bureau for Policy and Programme Support (BPPS), and relevant units from the Executive and Management offices in New York are expected to support the evaluation by providing the necessary information and documents requested by the IEO and the evaluation team. UNDP management has the responsibility of reviewing drafts of the Terms of Reference (TOR) and evaluation report, in addition to ensuring timely availability of finance and programme information and management response. It is anticipated that UNDP BPPS will identify a senior manager to act as focal point to liaison with the evaluation leader.

Quality assurance:

Quality assurance will be conducted in line with IEO principles and criteria, to ensure a sound and robust evaluation methodology and analysis of the evaluation findings, conclusions and recommendations. Internal management controls and peer review are included. An external advisory panel of experts will be convened to review and critique draft evaluation reports prior to completion.

Annex 1 UNDP's climate change and disaster risk reduction expenditure

Official Development Assistance Commitments marked as principally or significantly focused on climate change adaptation delivered through UNDP: 2010 – 2017 (US\$,000), by country and bureau. *Countries that have been subject to a recent ICPE are marked in blue.*

Bureau/Country	Agriculture, forestry and fisheries, food security		Disaster Prevention & Preparedness, Emergency response and reconstruction		Environmental Protection		Other		Water Supply & Sanitation		Total
	%	\$,000	%	\$,000	%	\$,000	%	\$,000	%	\$,000	
RBA	13%	\$43,058	17%	\$54,773	39%	\$130,156	20%	\$66,519	11%	\$36,571	\$331,077
<i>Zimbabwe</i>	77%	\$31,206			23%	\$9,404					\$40,610
<i>Mali</i>		\$934	26%	\$9,170	35%	\$12,443	11%	\$3,751	25%	\$8,990	\$35,287
South Sudan			82%	\$27,256			18%	\$6,031			\$33,287
<i>Ethiopia</i>	50%	\$8,762			36%	\$6,349		\$1,515			\$17,487
Benin					56%	\$9,351	44%	\$7,360			\$16,711
<i>Malawi</i>		\$1,420	43%	\$6,854	46%	\$7,365		\$361			\$15,999
Tanzania							95%	\$15,011			\$15,744
Eritrea							39%	\$5,772	61%	\$9,200	\$14,972
Democratic Republic of the Congo			39%	\$5,727		\$595	57%	\$8,491			\$14,813
<i>Ghana</i>					34%	\$4,270			66%	\$8,258	\$12,528
<i>Rest of RBA</i>					69%	\$55,509	17%	\$13,804	12%	\$9,440	\$80,972
Latin America and the Caribbean	3%	\$5,031	18%	\$30,924	40%	\$70,800	30%	\$52,258	9%	\$16,453	\$175,465
Haiti			43%	\$21,380	20%	\$10,011	35%	\$17,405		\$684	\$49,479
<i>Cuba</i>	20%	\$4,973			60%	\$15,141	20%	\$4,955			\$25,069

Bureau/Country	Agriculture, forestry and fisheries, food security		Disaster Prevention & Preparedness, Emergency response and reconstruction		Environmental Protection		Other		Water Supply & Sanitation		Total
	%	\$,000	%	\$,000	%	\$,000	%	\$,000	%	\$,000	
<i>Guatemala</i>							100%	\$19,995			\$20,001
<i>Colombia</i>			51%	\$7,745			49%	\$7,569			\$15,314
Peru					89%	\$13,568	11%	\$1,633			\$15,201
Nicaragua					100%	\$14,238	0%	\$13			\$14,251
Costa Rica					38%	\$2,780			62%	\$4,623	\$7,403
Honduras					12%	\$765			80%	\$5,275	\$6,590
Bolivia			34%	\$1,249					61%	\$2,280	\$3,712
Belize									99%	\$3,424	\$3,444
<i>Rest of RBLAC</i>					94%	\$14,120		\$687		\$167	\$15,000
Asia	3%	\$10,021	24%	\$82,805	34%	\$117,954	26%	\$91,334	14%	\$47,270	\$349,384
<i>Bangladesh</i>			44%	\$28,243	27%	\$17,446	18%	\$11,772	10%	\$6,556	\$64,017
<i>Maldives</i>					22%	\$8,640			78%	\$31,490	\$40,130
<i>Afghanistan</i>			69%	\$23,930	17%	\$5,775	14%	\$4,962			\$34,667
Myanmar		\$1,483	2%	\$649	20%	\$5,376	72%	\$18,939			\$26,448
Viet Nam			11%	\$2,111	3%	\$504	86%	\$16,213			\$18,828
<i>Indonesia</i>					95%	\$17,205					\$18,042
<i>Philippines</i>			78%	\$13,544			17%	\$3,027			\$17,379
Samoa					40%	\$7,782	60%	\$11,642			\$19,424
<i>Bhutan</i>					100%	\$14,734					\$14,734
Pakistan				\$706	28%	\$3,666	42%	\$5,506	24%	\$3,161	\$13,040
<i>Rest of RBAP</i>	5%	\$4,898	15%	\$14,436	57%	\$53,651	14%	\$13,311	5%	\$4,868	\$93,703
RBAS											
Jordan							96%	\$14,691			\$15,308

Bureau/Country	Agriculture, forestry and fisheries, food security		Disaster Prevention & Preparedness, Emergency response and reconstruction		Environmental Protection		Other		Water Supply & Sanitation		Total
	%	\$,000	%	\$,000	%	\$,000	%	\$,000	%	\$,000	
<i>Somalia</i>			35%	\$3,967	65%	\$7,380					\$11,347
Djibouti					54%	\$4,938	46%	\$4,222			\$9,161
Egypt					100%	\$5,575					\$5,575
Sudan					78%	\$2,444			22%	\$684	\$3,128
Morocco					97%	\$2,162		\$56			\$2,218
Tunisia					96%	\$1,195					\$1,240
West Bank and Gaza Strip			17%	\$502	56%	\$1,664	28%	\$825			\$2,992
<i>Iraq</i>			100%	\$2,923							\$2,923
<i>Lebanon</i>			72%	\$996	28%	\$380					\$1,376
<i>Yemen</i>									100%	\$587	\$587
RBEC	0%	\$5	6%	\$1,700	53%	\$14,528	5%	\$1,419	35%	\$9,668	\$27,320
<i>Bosnia and Herzegovina</i>			14%	\$1,693	78%	\$9,544		\$988			\$12,224
<i>Macedonia</i>					19%	\$2,336		\$41	80%	\$9,668	\$12,045
Moldova					99%	\$1,485					\$1,506
<i>Albania</i>					70%	\$898	30%	\$376			\$1,274
<i>Kosovo</i>					100%	\$265					\$265
Turkmenistan	53%	\$2,869					47%	\$2,593			\$5,462
Georgia			14%	\$1,375	49%	\$4,706	37%	\$3,580			\$9,661
Uzbekistan	100%	\$4,861									\$4,861
Kyrgyzstan							96%	\$898			\$937
Kazakhstan					91%	\$811					\$892
<i>Rest of RBEC</i>			11%	\$600	89%	\$4,625					\$5,225
Grand Total	7%	\$63,078	19%	\$178,795	39%	\$373,025	24%	\$230,985	12%	\$109,961	\$955,845

Official Development Assistance Commitments marked as principally or significantly focused on climate change adaptation to Small Island Developing States delivered through UNDP: 2010 – 2017 (US\$,000), by country and bureau. *Countries that have been subject to a recent ICPE are marked in blue.*

Region/Country	Agriculture, forestry and fisheries, food security		Disaster Prevention & Preparedness, Emergency response and reconstruction		Environmental Protection		Other		Water Supply & Sanitation		Total
	%	\$,000	%	\$,000	%	\$,000	%	\$,000	%	\$,000	
AIMS					29%	\$15,983			71%	\$40,018	\$56,001
<i>Maldives</i>					22%	\$8,640			78%	\$31,490	\$40,130
<i>Mauritius</i>					1%	\$52			99%	\$8,072	\$8,124
<i>Seychelles</i>					100%	\$5,847					\$5,847
Cabo Verde					71%	\$1,116			29%	\$456	\$1,572
<i>Comoros</i>					100%	\$224					\$224
<i>Guinea-Bissau</i>					100%	\$52					\$52
Sao Tome and Principe					100%	\$52					\$52
Caribbean	6%	\$4,973	25%	\$21,380	37%	\$31,425	27%	\$22,709	5%	\$4,107	\$84,595
Haiti			43%	\$21,380	20%	\$10,011	35%	\$17,405	1%	\$684	\$49,479
<i>Cuba</i>	20%	\$4,973			60%	\$15,141	20%	\$4,955			\$25,069
Belize					1%	\$20			99%	\$3,424	\$3,444
Suriname					100%	\$3,363					\$3,363
Grenada					100%	\$1,679					\$1,679
Guyana					100%	\$1,065					\$1,065
Dominican Republic					7%	\$26	93%	\$349			\$375
<i>Antigua and Barbuda</i>					100%	\$20					\$20
<i>Saint Lucia</i>					100%	\$20					\$20
<i>Saint Kitts and Nevis</i>					100%	\$20					\$20

Region/Country	Agriculture, forestry and fisheries, food security		Disaster Prevention & Preparedness, Emergency response and reconstruction		Environmental Protection		Other		Water Supply & Sanitation		Total
	%	\$,000	%	\$,000	%	\$,000	%	\$,000	%	\$,000	
Jamaica					100%	\$20					\$20
<i>Dominica</i>					100%	\$20					\$20
<i>Saint Vincent and the Grenadines</i>					100%	\$20					\$20
Pacific	6%	\$4,963	16%	\$14,270	56%	\$48,594	22%	\$19,570	0%		\$87,398
Samoa					40%	\$7,782	60%	\$11,642			\$19,424
Papua New Guinea	1%	\$65	3%	\$374	55%	\$6,095	41%	\$4,596			\$11,131
Vanuatu			26%	\$2,810	71%	\$7,810	3%	\$340			\$10,960
Timor-Leste					99%	\$9,007	1%	\$114			\$9,121
Solomon Islands	58%	\$4,898	33%	\$2,810	1%	\$52	9%	\$749			\$8,509
Tonga			28%	\$1,756	67%	\$4,215	5%	\$313			\$6,284
Cook Islands			85%	\$4,956	14%	\$809	1%	\$69			\$5,834
Fiji			32%	\$1,564	44%	\$2,185	24%	\$1,174			\$4,924
Niue					100%	\$4,700		\$7			\$4,707
Marshall Islands					97%	\$4,112	3%	\$126			\$4,238
Tuvalu					86%	\$809	14%	\$136			\$945
Tokelau					99%	\$809	1%	\$5			\$814
Kiribati					27%	\$52	73%	\$142			\$194
Palau					36%	\$52	64%	\$92			\$144
Micronesia					60%	\$52	40%	\$34			\$86
Nauru					63%	\$52	37%	\$30			\$83
Grand Total	4%	\$9,936	16%	\$35,651	42%	\$96,003	19%	\$42,279	19%	\$44,126	\$227,994

UNDP data on spending relevant to climate change and disaster risk reduction

Table 5 DRR & CCA/CCM spending as a proportion of total program spending in \$m (2012 – 2017)

Year	Expenditure					Climate Change and DRR expenditure percentage relative to total UNDP expenditure	Early recovery ¹⁰
	UNDP total	CCA ¹¹	CCM	DRR	Climate Change and DRR		
2012	\$5,521	\$65	\$44	\$118	\$227	4%	\$272
2013	\$5,552	\$63	\$61	\$117	\$242	4%	\$302
2014	\$5,471	\$77	\$142	\$160	\$379	7%	\$318
2015	\$5,344	\$87	\$68	\$176	\$331	6%	\$341
2016	\$4,973	\$94	\$65	\$144	\$304	6%	\$430
2017	\$5,363	\$102	\$82	\$154	\$339	6%	\$634

- The UNDP program spending for CC and DRR relative to the total UNDP expenditure has gradually increased between 2012 and 2017 from 3.3% to 4.8% of the total expenditure in 2017.
- The total UNDP expenditure between 2012 and 2017 is USD 32.2 billion while that of climate change and disaster risk reduction programs is US\$1.8 billion.
- UNDP spending in support of early recovery from disasters is higher than UNDP's spending on disaster risk reduction and climate change programs combined.

¹⁰ Includes early economic revitalization, national and local institution support, early recovery, innovative partnerships, and recovery process reinforcement, etc.

¹¹ Includes the programs that have both climate change adaptation and climate change mitigation.

UNDP Climate Change and DRR spending

Table 6 Top 15 CO with programs delivering climate change and DRR, amount and per cent of total (2012-17)

Country	Expenditure (\$m)	Spending proportion by thematic areas			
		CCA	CCA/CCM	CCM	DRR
Peru	\$108	0%	6%	88%	6%
Bosnia and Herzegovina	\$91	0%	1%	0%	99%
Bangladesh	\$65	9%	0%	0%	91%
China	\$58	0%	8%	61%	31%
Haiti	\$56	12%	0%	0%	88%
Ethiopia	\$53	22%	1%	19%	57%
Indonesia	\$49	10%	12%	73%	5%
Viet Nam	\$35	4%	12%	53%	31%
Nigeria	\$34	10%	38%	28%	24%
Nepal	\$34	0%	2%	0%	98%
Samoa	\$33	82%	0%	0%	18%
Cambodia	\$30	29%	50%	20%	0%
Mexico	\$29	0%	7%	86%	6%
Mali	\$27	37%	0%	1%	62%
Malawi	\$26	22%	0%	0%	78%

- Spending on climate change and disaster risk reduction is concentrated in a small number of countries, with 40 per cent of UNDP's support going to 15 countries.
- 130 country offices, excluding top 15, had climate change and DRR programs with the average expenditure of US\$ 7.2 million between 2012 and 2017.¹² These 130 country offices spent 51% of UNDP's climate change and DRR spending.
- Core funds in CC and DRR accounted for 14 per cent of UNDP spending between 2012 and 2017.
- The biggest donor for non-core funds is Global Environment Fund Trust, having contributed 22 per cent of the total spending between 2012 and 2017. GEF Trust has mainly focused on Climate Change Adaptation and Disaster Risk Reduction, and its annual contribution has been expanded three times since 2012. Other noteworthy donors include UNDP (17%), European Commission (9%), Adaptation Fund (5%), Government of Japan (4%), Peru Ministry of Environment (4%), Government of Norway (4%), and Multi Partner Trust Fund (4%).

¹² Excluded bureau spending.

UNDP DRR spending

Table 7 Top 15 Country Offices that have programs for DRR spending, amount and percent of total in m (2012-2017)

Country	Expenditure (US mil)	CO expenditure and a proportion of UNDP spending	DRR of DRR	UNDP core contribution as a % of DRR core/non-core	Group by income	Group by region
Bosnia and Herzegovina	\$90		10%	1%	UMIC	Europe and Central Asia
Bangladesh	\$59		7%	2%	LDC/LMIC	South Asia
Haiti	\$50		6%	11%	LDC/LI	Latin America and the Caribbean
Nepal	\$33		4%	21%	LDC/LI	South Asia
Ethiopia	\$31		4%	33%	LDC/LI	Sub-Saharan Africa
Malawi	\$20		2%	54%	LDC/LI	Sub-Saharan Africa
Zimbabwe ¹³	\$19		2%	13%	LI	Sub-Saharan Africa
Yemen	\$18		2%	14%	LDC/LMI	Middle East and North Africa
China	\$18		2%	14%	UMIC	East Asia and Pacific
South Sudan	\$18		2%	4%	LDC/LI	Sub-Saharan Africa
Mali	\$17		2%	32%	LDC/LI	Sub-Saharan Africa
Uganda	\$16		2%	32%	LDC/LI	Sub-Saharan Africa
Maldives	\$15		2%	2%	UMIC	South Asia
PC (Pacific Island countries ¹⁴)	\$14		2%	0%	N/A	East Asia and Pacific
Niger	\$14		2%	51%	LIC/LI	Sub-Saharan Africa

- UNDP's DRR spending is highly concentrated. Spending by UNDP's top 15 country offices accounts for a half of UNDP's DRR expenditure.

¹³ Zimbabwe declined to be included in the list at subsequent triennial reviews, Alonso et al (2014): *LDC and other country groupings: How useful are current approaches to classify countries in a more heterogeneous developing world?*

¹⁴ Includes Fiji, Solomon Island, Tonga, Vanuatu, etc.

- 116 country offices, excluding top 15, had DRR programs with the average expenditure of US\$3.6 million between 2012 and 2017. These 116 country offices spent 42 per cent of total UNDP DRR spending.
- 10 of top 15 countries are least developed countries and/or low-income countries except Bosnia and Herzegovina (UMIC), China (UMIC), Maldives (UMIC), and Bangladesh (LMIC).
- UNDP's DRR is concentrated in the period after major disasters have occurred.

Table 8 Disasters by country/year

Disaster year	Disaster name	Country	The bulk of the spending in the countries occurred in
2012	Typhoon Haiwai	China	2013
2014	Southeast Europe Floods	Bosnia and Herzegovina	2014-2016
2015	Nepal Earthquake	Nepal	2016
2015	Floods	Malawi	2016
2015	Drought	Zimbabwe	2016

UNDP CCA spending

Table 9 Top 15 Country Offices that have programs for CCA spending amount and per cent of total (2012 – 2017)¹⁵

Country	Expenditure (US mil)	CO CCA expenditure as a proportion of UNDP CCA spending	UNDP core contribution as a % of CCA core/non-core	Group by income	Group by region
Samoa	\$27	6%	1%	UMIC	East Asia and Pacific
Cambodia	\$24	5%	24%	LMIC	East Asia and Pacific
Nigeria	\$16	3%	55%	LMIC	Sub-Saharan Africa
Burkina Faso	\$13	3%	15%	LIC	Sub-Saharan Africa
Comoros	\$13	3%	10%	LIC	Sub-Saharan Africa
Ethiopia	\$12	3%	7%	LIC	Sub-Saharan Africa
Cuba	\$12	2%	0%	UMIC	Latin America and the Caribbean
United Republic of Tanzania	\$12	2%	53%	LIC	Sub-Saharan Africa
Somalia	\$11	2%	37%	LIC	Sub-Saharan Africa
Bhutan	\$11	2%	4%	LMIC	South Asia
Indonesia	\$11	2%	7%	LMIC	East Asia and Pacific

¹⁵ Includes the programs that have both climate change adaptation and climate change mitigation components

Gambia	\$11	2%	7%	LIC	Sub-Sahara Africa
Guinea	\$10	2%	32%	LIC	Sub-Sahara Africa
Mali	\$10	2%	11%	LIC	Sub-Sahara Africa
Solomon Islands	\$10	2%	0%	LMIC	East Asia and Pacific

- UNDP's expenditure on climate change adaptation is concentrated, with 41 per cent of its spending occurring in 15 countries.
- 80 country offices, excluding top 15, had CCA programs with the average expenditure of US 2.5 million¹⁶ between 2012 and 2017. These 80 country offices spent 50% of the total UNDP CCA spending.
- UNDP CCA programs have a strong focus on LICs in Sub-Sahara Africa; a majority of the top 15 countries are located in Sub-Sahara Africa (9) and eight of those are low income countries.
- Small Island states are also a significant focus for UNDP's CCA work, accounting for five of the top 15 highest spending CCA programs.

UNDP CCM spending

Table 10 Top 15 Country Offices that have programs for CCM spending amount and per cent of total (2012-2017)

Country	Expenditure (m)	CO CCM expenditure as a proportion of UNDP CCM spending	UNDP core contribution as a % of CCM core/non-core	Group by income	Group by region
Peru	\$94	20%	0%	UMIC	Latin America and the Caribbean
China	\$35	8%	0%	UMIC	East Asia and Pacific
Indonesia	\$35	8%	0%	LMIC	East Asia and Pacific
Mexico	\$25	5%	0%	UMIC	Latin America and the Caribbean
Viet Nam	\$19	4%	14%	LMIC	East Asia and Pacific
Brazil	\$11	2%	0%	UMIC	Latin America and the Caribbean
Malaysia	\$11	2%	0%	UMIC	East Asia and Pacific
Ethiopia	\$10	2%	58%	LIC	Sub-Saharan Africa
Nigeria	\$10	2%	6%	LMIC	Sub-Saharan Africa
India	\$8	2%	12%	LMIC	South Asia
Panama	\$8	2%	0%	HIC	Latin America and the Caribbean
Kenya	\$7	2%	4%	LMIC	Sub-Saharan Africa
Maldives	\$6	1%	0%	UMIC	South Asia

¹⁶ Excluded bureau spending.

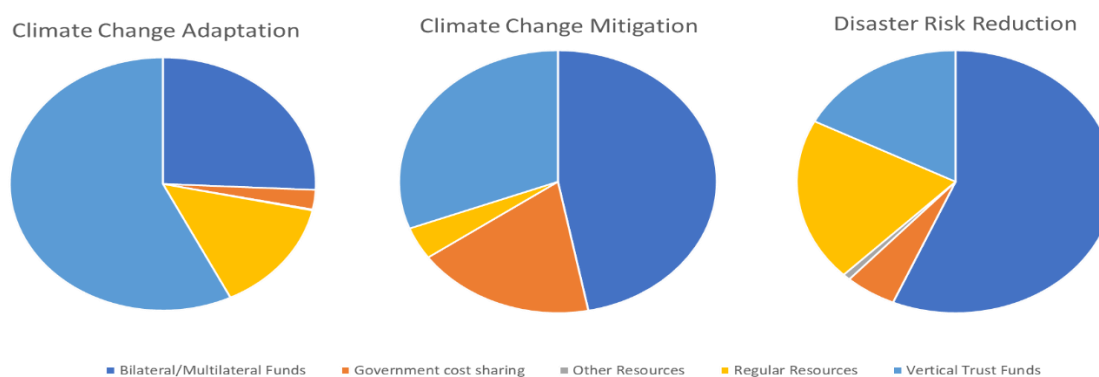
Cambodia	\$6	1%	9%	LMIC	East Asia and Pacific
Ukraine	\$6	1%	2%	LMIC	Europe and Central Asia

- 62 per cent of UNDP’s expenditure on climate change mitigation went to 15 countries.
- 54 country offices, excluding top 15, had CCM programs with the average expenditure of US 2 million¹⁷ between 2012 and 2017. These 54 country offices spent 24% of the total UNDP CCM spending.
- UNDP CCM programs are highly concentrated on middle-income countries, which account for 13 of top 15 recipients of UNDP CCM assistance. Of these, six are upper middle-income countries.
- The top recipient of UNDP CCM assistance is an unusual, in that the assistance was largely financed by the country itself, for administration of the *COP 20* program in 2014.

DRR, CCA and CCM variability in funding source

- While climate change adaptation programs are mainly supported by Vertical Trust Funds, bilateral and multilateral funds account for over half of program expenditure in climate change mitigation and disaster risk reduction.

Figure 2 Expenditure by fund category



¹⁷ Excluded bureau spending.

UNDP climate change and DRR projects

- UNDP has a large number of small projects that are focused on climate change and disaster risk reduction. Projects that spend less than 3 million between 2012 and 2017 accounted for 81 per cent of UNDP's climate change and DRR spending.

Table 11 Project size distribution 2012-2017

Project size by expenditure	# of project	Total Expenditure (m)
<=500k	345	65
>500k <=1,000,000	146	109
>1,000,000 <=3,000,000	229	425
>3,000,000 <=10,000,000	141	700
>10,000,000	23	532

- UNDP's top 25 projects account for 30 per cent of its budget in climate change and DRR.

Table 12 Top 25 projects by budget 2012-2017

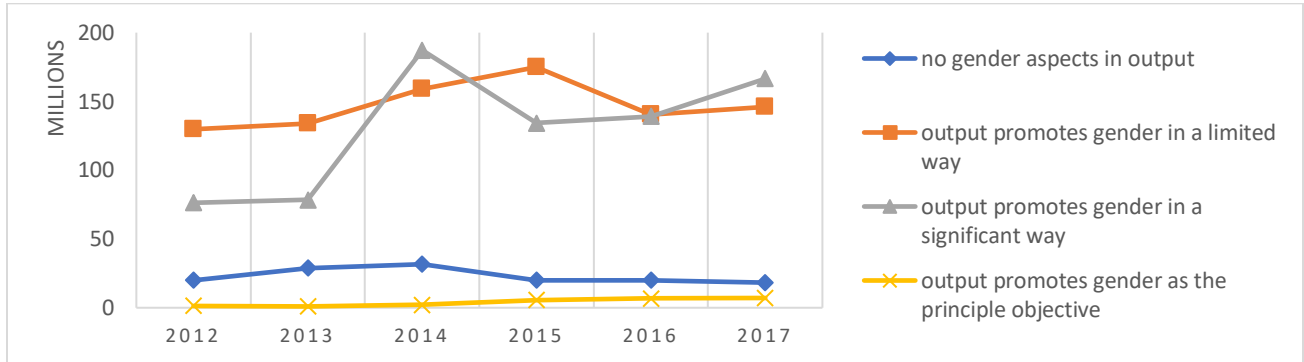
Project	Budget Total (m)	% of core	Country	Project Title	Description
00075011	\$90	0%	Peru	COP Prodoc formulado	Support for the generation of capacities for the organization of the 20th edition of the Conference of Parties of the UNFCCC (COP 20) and the 10th. Conference of Parties to the Kyoto Protocol (CMP10)
00081239	\$76	0.5%	Bosnia and Herzegovina	UN Resilience to floods	UN response to BIH floods is UNDP coordinated international community's response to sever floods that hit Bosnia and Herzegovina in May 2014.
00058919	\$62	5%	Bangladesh	CDMP II	Comprehensive Disaster Management Program II is being developed further reduce Bangladesh's vulnerability to adverse natural and anthropocentric hazards and extreme events, including the devastating potential impacts of climate change.
00063257	\$58	0%	Bureau for Dev. Policy BPPS/ Zambia	UN-REDD Global Program Support	United Nations-Reducing Emissions from Deforestation and Forest Degradation Global Program Framework
00060694	\$32	0%	Indonesia	REDD+ Agency	This project is designed to support the task force in the preparatory work for strengthening the REDD+ (reducing emissions from deforestation and forest degradation) readiness and its infrastructures.

Project	Budget Total (m)	% of core	Country	Project Title	Description
00040320	\$26	50%	BCPR/BPPS/ PB-Liaison – Geneva Indonesia Armenia	Global Mainstreami ng – DRU	Tools developed and human resource capacity strengthened across UNDP and with partner governments in 7-8 countries in support of effectively integrating disaster risk reduction (DRR) into development.
00061320	\$22	25%	Nepal	Disaster management policy support	The Comprehensive Disaster Risk Management Program (CDRMP) has been formulated as part of the Strategic Partnership Framework signed between the BCPR and UNDP. The project is aligned with UNDP Strategic Plan Outcome 5 & UNDAF Outcome 7.
00061165	\$21	0%	Bureau for Dev. Policy BPPS/Colom bia / Ghana / Morocco/Va nuatu	EU-UNDP Climate Change Capacity	To assist developing countries in the design of low-emissions development strategies within the context of national development needs.
00051000	\$19	0%	Samoa	Pacific Adaptation to Climate	Pacific Adaptation to Climate Change (PACC) Full Size project aims to significantly improve the effectiveness of the response to climate change in the Pacific Island Countries
00059570	\$19	45%	Ethiopia	Poverty Reduction/ community	Strengthening National Capacity for Disaster Risk Reduction and Livelihoods Recovery: The project aims at enhancing national capacity for Risk identification, Integrating DRR into development planning and diversifying livelihoods and recovery
00050968	\$18	23%	Haiti	DEX Management Capacities	Haiti Immediate Resettlement Program
00072132	\$17	0%	Viet Nam	UN REDD phase 2	The United Nations Collaborative Program on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries in Viet Nam
00059036	\$17	26%	Cambodia	Cambodia CC Alliance	A national strategy, program, and financing mechanism established for cohesive climate change response at national, sub-national, and community levels.
00072780	\$16	9%	Yemen	Support to Eliminate the Impact	Enhance national capacity in planning, management and monitoring of mines action activities
00089434	\$15	4%	Zimbabwe	Resilience Building Fund	Increased capacities of communities to protect development gains and achieve improved well-being outcomes in the face of shocks and stresses enabling them to contribute to the economic growth of Zimbabwe
00062001	\$15	0%	Mexico	Fort. preparación	The project will position Mexico as a neuralgic center for South-South cooperation around forest

Project	Budget Total (m)	% of core	Country	Project Title	Description
				REDD+ en Méx	monitoring and REDD+, and through the development of in-house capacity.
00048976	\$15	23%	BCPR/BPPS	ICRMP- climate risk management	Integrated Climate Risk Management Program (ICRMP): funded by Sweden and UNDP, 6 countries (Armenia, Honduras, Kenya, Indonesia, Nepal, and Uganda). Other former DRT WP Projects are on record under this code per the old structure of BCPR.
00048430	\$15	18%	Bangkok Regional Hub / China	Regional Crisis Prevention	Improved and effective capacity of Governments and CSOs to prevent, manage and respond to conflict and natural disasters / Enhanced capacity to carry out socio-economic activities for early and sustainable post-conflict/disaster recovery
00060857	\$14	4%	Haiti	Gestion basins versants Sud	Reduction of the vulnerability of populations and infrastructures in the southern department of Haiti and along the border of Haiti with the Dominican Republic
00059323	\$14	100 %	Multiple Countries	Addressing CC in the LDC's	Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPS)
00072738	\$14	0%	Multiple Countries	Assisting LDCs to advance	Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPS)
00061345	\$13	2%	South Sudan	Multi Year Disarmament	DDR project - This project is peace related but the recorded output is 5.2
00062174	\$13	0%	Samoa	Coastal Adaptation in Samoa	Enhancing resilience of coastal communities of Samoa to Climate Change (Adaptation Funded Project)
00084974	\$13	38%	Somalia	Drought Response Coordination	Enhancing Climate Resilience of the Vulnerable Communities and Ecosystems in Somalia
00076998	\$13	2%	Bhutan	Address Climate-induced Risks	Addressing the Risks of Climate-induced Disasters through Enhanced National and Local Capacity for Effective Actions

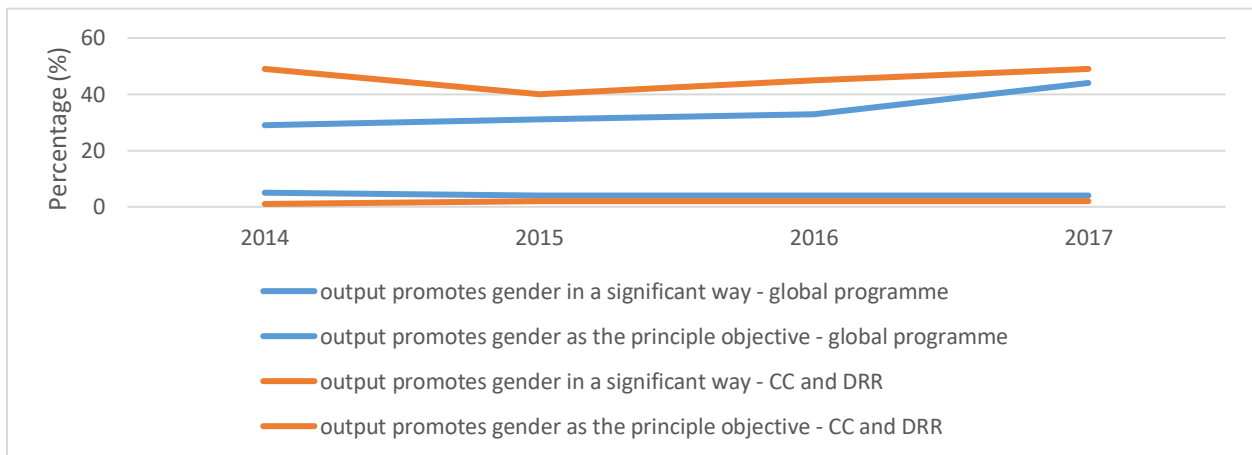
Gender focus of UNDP CC and DRR programs¹⁸

Figure 1 Programme spending trend by gender aspects – Climate Change and DRR



- Gender is one of the areas of the 2014-2017 UNDP Strategic Plan; the proportion of DRR and CCA spending reported to have gender as a significant/major objective has steadily increased over the last five years.
- The reported emphasis on gender equality in this area is higher than for UNDP globally.
- The proportion of UNDP programs reported as having a X focus on promoting gender equality has risen gradually from 2015. This trend aligns with the global program trend.

Figure 2 Proportion of UNDP spending that is significantly or principally focused on promoting gender equality



¹⁸ UNDP's gender marker is a tool that requires managers to rate projects against a four-point scale indicating their contribution towards the achievement of gender equality.

