



# **NAP Global Network**

Coordinating  
Climate-Resilient  
Development

‘Plan to project’ process

13.15-13.45; 16/03/2016

Olivia Palin, Acclimatise



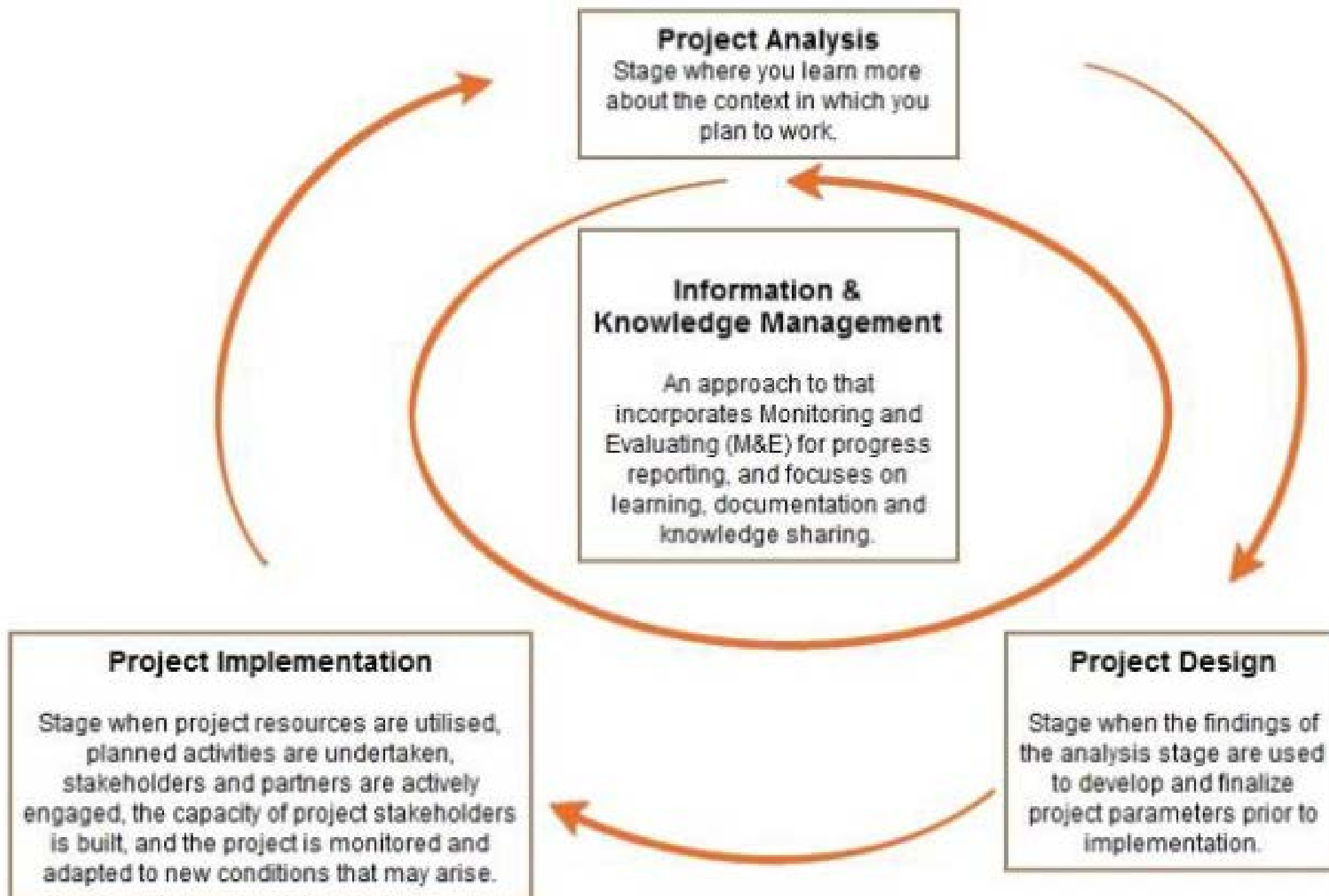


# 'Plan to project' process

STEP	1- CONTEXT	2- BASIC PROJECT DESIGN	3- DETAILED PROJECT DESIGN	4- IMPLEMENT/ MONITOR	5- EVALUATE/ REPORT
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OUTPUT	Summary: project background/ rationale/ justification	Project concept note	Technical & financial proposal; due dil. complete	Funding dispersed, log frame completed	Evaluations completed and reported



# ‘Plan to project’ process



# Step 1: Project analysis/ Establish Context

## Activities

- Collate/ review relevant data and information:
  - Climate impacts, vulnerabilities, risks
  - Proposed adaptation measures (costed?)
  - Legal, policy, institutional context
  - Economic, social, environ, livelihoods, gender justification/ dimensions
- Conduct gap analysis/ needs assessment (if feasible)
- Confirm project consistency with national dev. objectives
- Desk review/stakeholder eng.

## Output

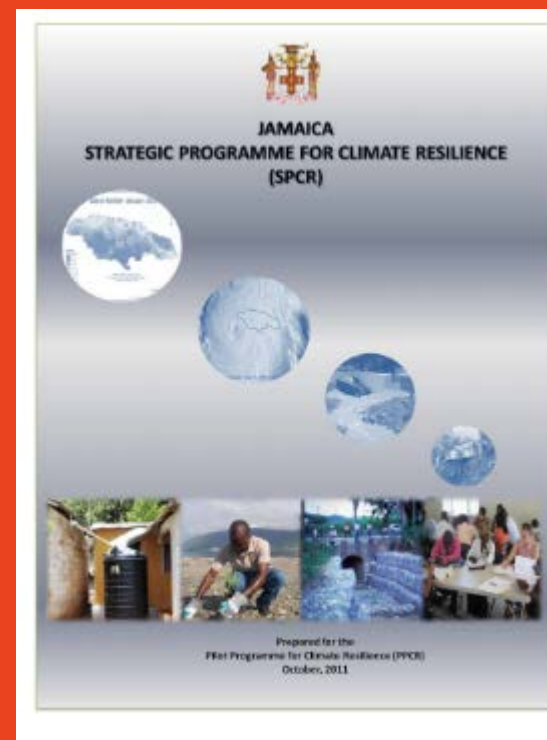
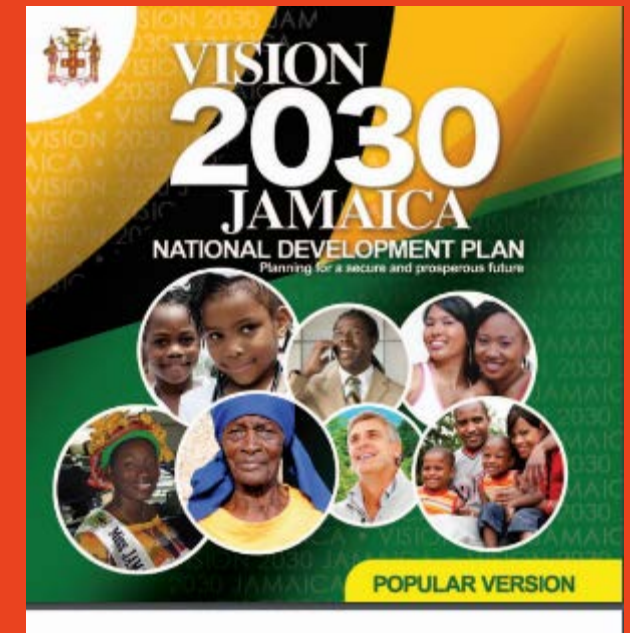
Summary: project background/ rationale/ justification



# Step 1: Project analysis/ Establish Context

## Documents

- Climate vulnerability/ risk assessments and maps
- Adaptation assessments/ CEAs/ CBAs
- Law, policy, institutional documents/ organograms
- Poverty Reduction Strategy Papers, sector papers



## Stakeholder consultation

1 to 1 meetings

Focus group meetings

Telephone calls

Email exchange



Guyana CRSAP development,  
2015



# Step 2: Basic project design

## Activities

- Define:
  - Aims, objectives, results, outcomes
  - Components (mode of delivery), outputs, high level indicators
  - Technolog(ies), location(s)
  - Cost estimates
  - Potential implementation arrangements
- Conduct risk analysis (risks and mitigation measures)
- Identify sources of funding
- Seek internal approvals
- Apply for funding (optional)
- Desk review/stakeholder eng.

## Output

Project concept note



# Step 2: Basic project design

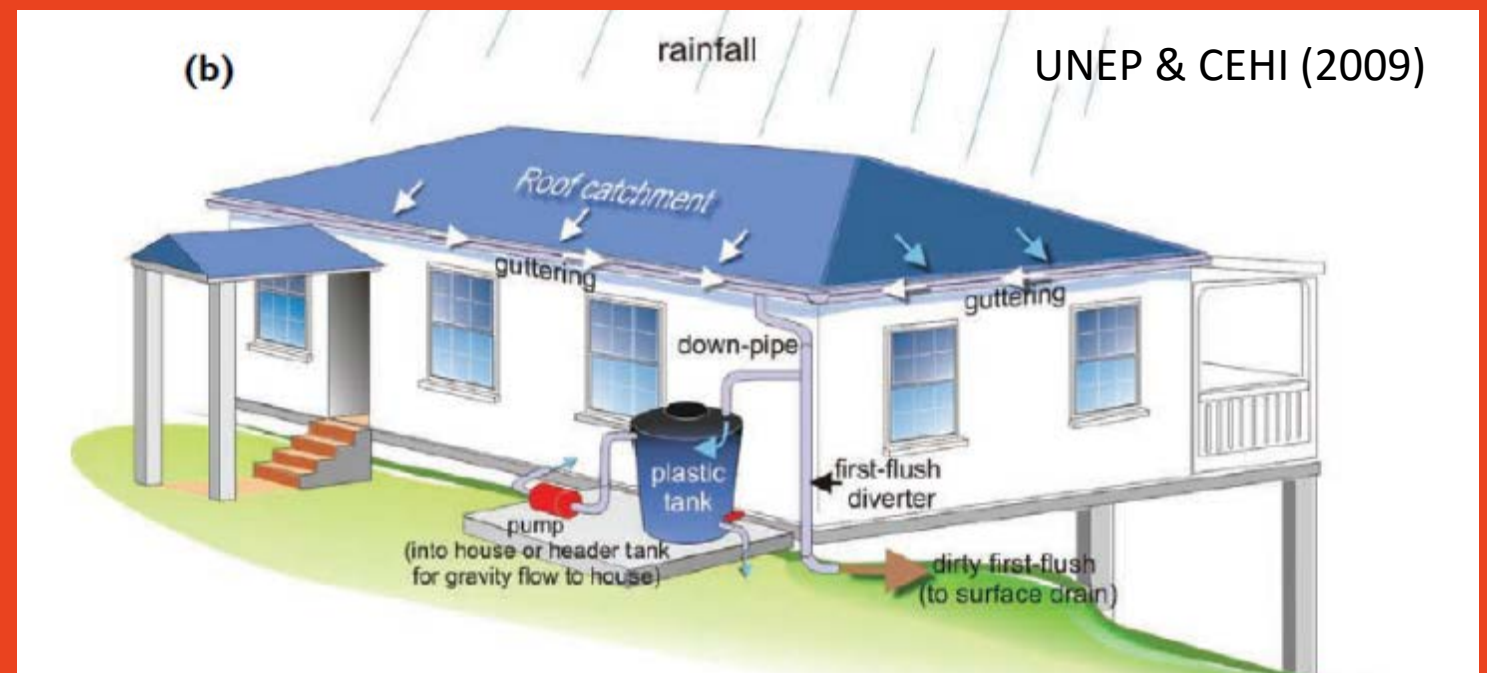
## Components/ Mode of delivery

E.g.

What technology?

What financial mech?

What business model?



Example aim: Provide a mechanism to facilitate the introduction of water adaptation measures into new build properties

What approaches?

- Grants to purchase products for lower income households
- Government subsidised water adaptation products
- Tax breaks for businesses investing in these products
- Concessional loans for housing developers to invest





# Step 2: Basic project design...sources of finance

Table 12: Overview of PCN titles, lead implementers, indicative costs (USD\$ adj.) and potential sources of funding.

Title of the Project	Lead implementer	Indicative costs	Potential sources of funding
Building Climate Resilient Agricultural Systems	<u>MoA</u>	US\$13.48-14.18 million (adj.)	IFAD, World Bank, EU – EDF, AF, GEF-Small Grant Programme, GCF, GFDRR, Japan – Fast Start Finance, USAID, SCCF
Guyana's Sea Defence Enhancement and Maintenance	WSG, MPI	US\$41.96-46.29 million (adj.)	CDB, EU- EDF, GEF-Small Grant Programme, GCF, EU--GCCA, Japan – Fast Start Finance, USAID, SCCF
Public Health Adaptation to Climate Change	<u>MoPH</u>	US\$17.35-18.60 million (adj.)	USAID, IDB, Guyana REDD+ Investment Fund, AF, GEF-Small Grant Programme, GCF, Japan – Fast Start Finance, SCCF, Pan American Health Organization (PAHO) for technical support, UNICEF for training materials.





# Step 2: Basic project design

## Project/Program Concept Note for the Use of Resources from the PPCR Competitive Set-Aside

<b>Country/Region:</b>	Jamaica	<b>CIF Project ID#:</b>	
<b>Project/Program Title:</b>	Financing water adaptation in Jamaica's new urban housing sector		
<b>Date of Endorsement of the Investment Plan:</b>	November 2012 (Submission date of Jamaica's endorsed SPCR)		
<b>Funding Request (in million USD equivalent):</b>	<i>Grant:</i> N/A	<i>Non-Grant (loan, equity, guarantee, etc.):</i> USD \$5,750,000	
<b>Implementing MDB(s):</b>	The Inter-American Development Bank (IDB)	Private sector arm Public sector arm	
<b>Executing Agency:</b>	TBD		
<b>MDB Focal Point and Project/Program Task Team Leader (TTL):</b>	<i>Headquarters:</i>	<i>TTL:</i> Mr Gerard Alleng, IDB	

Financing water adaptation in Jamaica's new urban housing sector. Project/Program Concept Note for the Use of Resources from the PPCR Competitive Set-Aside – available on PPCR website.



# Step 3: Detailed project design

## Activities

- Define:
  - Project beneficiaries
  - Tasks, subtasks, timeline (Gantt chart)
  - Budget (subtask level)
  - Log frame & indicators
  - Sustainability plan
  - Governance/ Project Execution unit (team)
- Conduct legal, financial, technical due diligence assessments
- Seek internal approvals
- Apply for funding (optional)
- Desk review/stakeholder eng.

## Output

Technical & financial proposal; due diligence complete



# Step 3: Detailed project design

Global Environmental Objective Indicators											
Indicator Name	Core	Unit of Measure	Baseline	Cumulative Target Values					Frequency	Data Source/ Methodology	Responsibility for Data Collection
				YR1	YR2	YR3	YR4	End Target			
<b>Indicator 1</b> Areas of environmental significance brought under protection measures and effectively managed in the medium and long term	☒	Hectares of protected areas (ha)	0	675,000	1,350,000	2,025,000	2,700,000	2,700,000	Annual	Effectiveness Analysis of the Protected Areas with social participation	PNN
<b>Indicator 2</b> Governments and indigenous authorities are strengthened for the sustainable	☒	Capacity Assessment	Low	Low	Medium	Medium	High	High	Midterm Final	Reports and stakeholders assessments (qualitative methodology to be defined)	MADS PNF IDEAM SINCHI PNN

World Bank (2014) [http://www-wds.worldbank.org/external/default/WDSP/IB/2014/11/21/000470435\\_20141121133220/Rendered/PDF/880670REVISED0020Box385377B00OUO090.pdf](http://www-wds.worldbank.org/external/default/WDSP/IB/2014/11/21/000470435_20141121133220/Rendered/PDF/880670REVISED0020Box385377B00OUO090.pdf).





# Step 3: Detailed project design...

## Define execution unit/ executing agency & conduct necessary viability/ due diligence assessment

- Identify/ select potential executing agency
- Communicate with selected agenc(ies) - Conduct review/ DD of one/ few selected potential executing agenc(ies)

These two sub-steps involve high level and then detailed exploration of the following themes:

- Planning and programming (technical/ sector experience)
- Governance and organisational mngt (Boards, committees, focal point)
- Human resources management (size of team, capacity)
- Financial management (analyse portfolio, balance sheet)
- Procurement processes
- Internal controls (e.g. formal processes for review, eval, audit, etc).
- Their interest in being PEU



# Step 3: Detailed project design

## PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY



**A. Record of endorsement on behalf of the government<sup>2</sup>** *Provide the name and position of the government official and indicate date of endorsement. If this is a regional project/programme, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project/programme proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project/programme:*

<i>(Enter Name, Position, Ministry)</i>	Date: <i>(Month, day, year)</i>
---	---------------------------------

**B. Implementing Entity certification** *Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number and email address*

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing
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# Reflections

- ‘Plan to project’ pipeline development is coherent with NAP guidance
- Participation of multiple stakeholders is important throughout – information gathering, buy in for implementation
- Understanding the minimal role of the state is key, and how to obtain participation and input from others
- There is often a long time lag (years) from project idea to project implementation – depending on size of project, due diligence requirements and funding source
- This is not a prescriptive process – variation by country/project
- Steps are required to prepare a project, irrespective of funding source (domestic, bilateral, international, private).



# References

- Adaptation Fund (2013) Project/ proposal template.
- Care International. (publication date not available). Community Based Adaptation Toolkit
- IPCC. 2015. Working Group II report.
- Inter American Development Bank. 2014. Financing water adaptation in Jamaica's new urban housing sector. Project/Program Concept Note for the Use of Resources from the PPCR Competitive Set-Aside – available on PPCR website.
- Least Developed Countries Expert Group. 2012. National Adaptation Plans. Technical guidelines for the national adaptation plan process. Bonn: UNFCCC secretariat. Bonn, Germany.
- Secretariat of the Pacific Regional Environment Programme (SPREP). 2015. The Pacific Guide to Project Proposal Preparation for the Kyoto Protocol Adaptation Fund.
- UNEP & CEHI. 2009. Rainwater: Catch it while you can.
- Government of Guyana. 2015 Public Review document. Draft Climate Resilience Strategy and Action Plan.
- World Bank. 2014. Project Appraisal document – Forest Preservation in Colombian Amazon.





# NAP Global Network

**[www.napglobalnetwork.org](http://www.napglobalnetwork.org)**

**[info@napglobalnetwork.org](mailto:info@napglobalnetwork.org)**

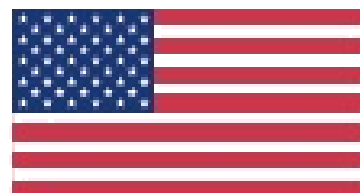
**@NAP\_Network**

**#NAPGN**

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Federal Ministry  
for Economic Cooperation  
and Development



*Secretariat hosted by*

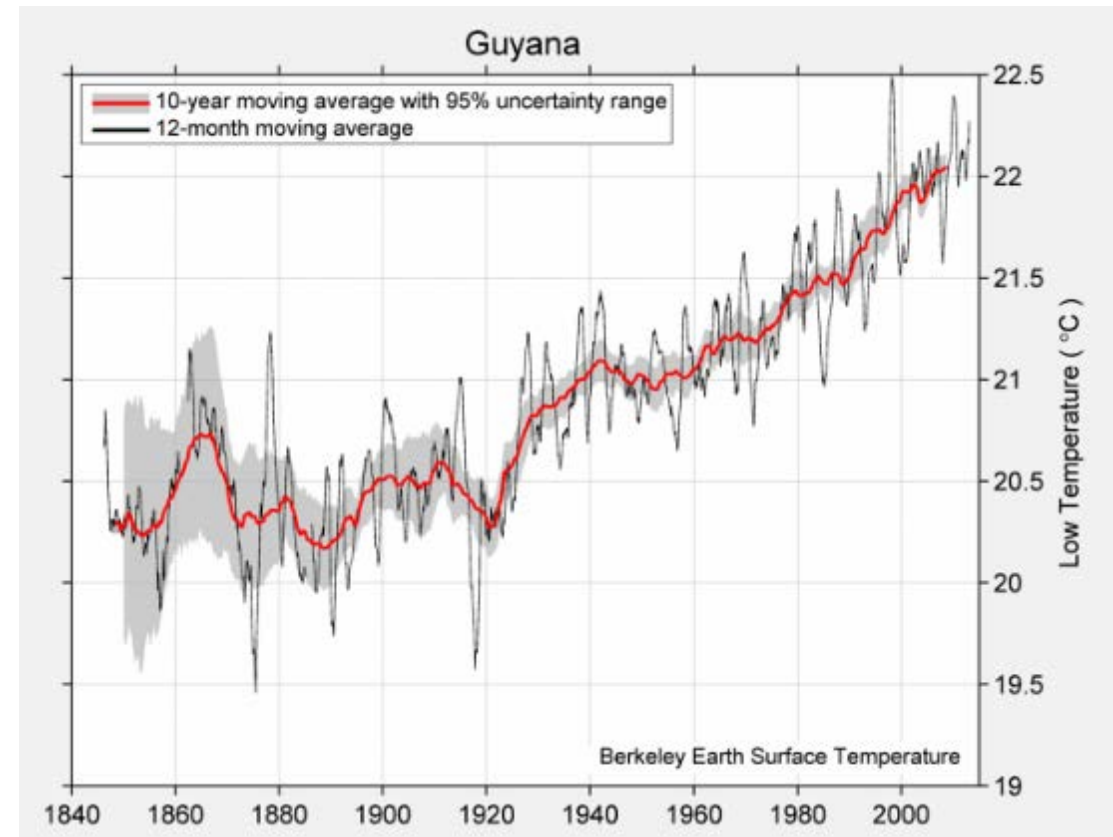




**SPARE SLIDES (FOR USE IN DISCUSSION IF REQUIRED)**

# Key concepts: vulnerability and resilience

Climate varies  
Year to year  
Month to month  
Daily



[www.berkeleyearth.lbl.gov](http://www.berkeleyearth.lbl.gov)

Systems must be able to operate successfully in the face of this variability

Underperform and failure: system is **vulnerable** to climate variability

Cope: system is **resilient** to climate variability

# Adaptation

The **process of adjustment** to actual or expected climate and its effects. In human systems, adaptation seeks to **moderate harm or exploit beneficial opportunities**. In natural systems, human intervention may facilitate adjustment to expected climate and its effects.

**Incremental adaptation** Adaptation actions where the central aim is to **maintain the essence and integrity of a system** or process at a given scale.

**Transformational adaptation** Adaptation that **changes the fundamental attributes** of a system in response to climate and its effects.

IPCC (2015 AR5 Glossary)



# Resilience

The capacity of a social-ecological system to cope with a hazardous event or disturbance, responding or reorganizing in ways that **maintain its essential function, identity, and structure**, while also maintaining the capacity for adaptation, learning, and transformation (Arctic Council, 2013).

IPCC (2015 AR5 Glossary)

# Climate resilience

The capacity of an individual, community or institution to **survive and recover from the effects of climate change**. It includes:

the ability to understand potential impacts;

to take appropriate action before, during, and after a particular consequence to minimise negative effects and;

maintain the ability to respond to variable and changing conditions.

Adapted from Rockefeller Foundation (2009)

## **D. Reporting, Monitoring and Review**

1. Monitoring the NAP process
2. Reviewing the NAP process to assess progress, effectiveness and gaps
3. Iteratively updating the national adaptation plans
4. Outreach on the NAP process and reporting on progress and effectiveness

## **A. Laying the groundwork and addressing gaps**

1. Initiating and launching of the NAP process
2. Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process
3. Addressing capacity gaps and weaknesses in undertaking the NAP process
4. Comprehensively and iteratively assessing development needs and climate vulnerabilities

# **NAP process (elements and steps)**

## **C. Implementation Strategy**

1. Prioritizing climate change adaptation in national planning
2. Developing a (long-term) national adaptation implementation strategy
3. Enhancing capacity for planning and implementing adaptation
4. Promoting coordination and synergy at the regional level and with other multilateral environmental agreements

## **B. Preparatory Elements**

1. Analysing current climate and future climate change scenarios
2. Assessing climate vulnerabilities and identifying adaptation options at the sector, subnational, national and other appropriate levels
3. Reviewing and appraising adaptation options
4. Compiling and communicating national adaptation plans
5. Integrating climate change adaptation into national and subnational development and sectoral planning