MAKING THE ADAPTATION FUND WORK FOR THE MOST VULNERABLE

Independent insights from vulnerable developing countries

Supporting the most vulnerable to climate change.

Making the Adaptation Fund work for the most vulnerable

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Brief summary

The Adaptation Fund established under the Kyoto Protocol has reached the implementation stage of adaptation projects in developing countries. This is a decisive phase to see if and how the provisions of this innovative funding instrument will work.

This publication summarises the state of play in the Adaptation Fund and the key experiences of members of the Adaptation Fund NGO Network, at international policy level as well as within developing countries.

The document provides insights into the implementation of adaptation projects, as well as their preparation, in seven developing countries. Four of the countries (Benin, Jamaica, Senegal, South Africa) will implement direct access, while three of them (Honduras, Nicaragua, Pakistan) will work with multilateral Implementing Entities including the UNDP.

The investigations, building on in-country consultations, provide important lessons for future operations of the Adaptation Fund, as well as for adaptation projects in general and other international bodies, such as the Green Climate Fund.

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Contents

Executive summary

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This publication summarises the state of play in the Adaptation Fund and the key experiences of members of the Adaptation Fund NGO1 Network, at international policy level as well as within developing countries.

The document provides insights into the implementation of adaptation projects, as well as their preparation, in seven developing countries. Four of the countries (Benin, Jamaica, Senegal, South Africa) will implement direct access, while three of them (Honduras, Nicaragua, Pakistan) will work with multilateral Implementing Entities including the United Nations Development Programme (UNDP). The case studies address key elements of the Adaptation Fund provisions for project proposals, including the consultative processes and the focus on particularly vulnerable communities.

The investigations, building on in-country consultations, provide important lessons for future operations of the Adaptation Fund, as well as for adaptation projects in general and other international bodies. such as the Green Climate Fund.

Achievements of civil society engagement

The Adaptation Fund (AF) NGO Network, after two years of existence and building on previous work, has achieved much. The Network is regarded by the Adaptation Fund Board (AFB) as a solid partner, among others. It independently assesses and follows the work of the AFB. Through its activities, the Network and its members have contributed, inter alia, to:

- **an increased awareness** of the strategic priority to give special attention to the particular needs of the most vulnerable communities;
- **greater transparency** in AF work, for example through regular webcasting of sessions, public disclosure of technical reviews of project proposals, and review comments made by the Board to Implementing Entities;
- **improvements to important provisions** such as project development guidance related to the consultative processes, consideration of the needs of vulnerable communities and gender issues, the evaluation framework, and the knowledge management;
- **an enhanced, cooperative working relationship** between the AFB and civil society, and increased attention to civil society contributions, for example through regular dialogue with civil society, and recognition of civil society in the knowledge management strategy and the evaluation framework.

Lessons learned from country case studies

Although the process and project implementation in most of the countries is still in an early stage, and the case studies were carried out with limited resources, some general conclusions can be drawn from the case studies. The strength of these preliminary views is that they will be relevant throughout the course of project implementation.

1. Local stakeholders (local communities, NGOs and local government) must be involved from the beginning of the project design until the last stage of the evaluation. It is too early to say whether the revised AFB guidance, which was approved at the 17th meeting (March 2012), will have sufficiently positive effects in this regard.

2. Related to inter-institutional and multi-stakeholder coordination, the projects provide a useful opportunity to promote transparency and the free flow of information between institutions and communities.

3. The establishment of synergies between all the actors (government, beneficiaries, universities and NGOs) seems to be the main route towards simplifying processes and enhancing results.

4. Ownership by targeted communities is easier to secure when the project contains some infrastructure components or tangible deliveries. It can be more difficult to effectively engage local communities in projects with stronger capacity-building elements, such as setting up an early-warning system, although in general communities understand that these problems need to be addressed.

5. Accreditation of the National Implementing Entities opens up opportunities for better governance of climate finance and for strengthening the institutional capacity of developing countries.

6. Direct access is not an impediment to forming direct links with local communities and engaging civil society as Implementing Entities. On the contrary, it can be a tool for enhancing dialogue between responsible agencies and civil society.

7. Mainstreaming climate change adaptation projects and involving the most vulnerable groups are critical and require a holistic approach.

With 27 projects approved since the first call for proposals two and a half years ago, and with funding amounting to US$175 million, the AF is delivering on implementation. However, the overall performance of these projects needs to be observed continuously in order to help the most vulnerable communities build resilience to climate change. This publication aims to make a constructive contribution to the success of the AF.

[1] NGO: non-governmental organisation

1 Introduction

1.1 Background to the Adaptation Fund and the Adaptation Fund NGO Network

There is broad scientific consensus that climate change is unequivocally one of the main challenges humankind has ever faced. Its negative impacts are already affecting many poor people and their prospects of development. In the future, climate change will have even more serious impacts on all countries, pushing millions of people into poverty and narrowing down the opportunities for sustainable development and for people to escape misery.

Recent studies are warning that the world is likely to overshoot the critical 2°C threshold, putting the planet on a 4o to 6°C pathway of global warming (Sharman et al 2012). Avoiding this and "turning down the heat" (see World Bank 2012) is still possible, feasible and advantageous, but it requires an immediate turnaround in global economic and energy policies.

Warned about this bitter reality, Parties have started engaging in negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) on a new issue that strives to address loss and damage resulting from climate change in terms of both human lives lost and economic metrics. The assumption behind this issue is that even with ideal levels of adaptation, there will still be some residual impacts leading to loss and damage.[2] It is therefore important to begin addressing urgent adaptation needs to lay the foundation for long-term actions addressing the adaptation needs of poor countries.

The Adaptation Fund (AF) was created to assist poor countries in meeting their urgent adaptation needs. Unlike other funds, such as the UNFCCC Least Developed Countries Fund (LDCF) or the World Bank Pilot Programme for Climate Resilience (PPCR), the AF is the only fund that focuses on financing adaptation projects in all developing countries. Because of its innovative features – such as its governance structure, financing mechanism, direct access and achievements in two years of operation – the AF has received attention and admiration from several climate finance stakeholders.

[2] Approaches to addressing loss and damage associated with climate change impact- See: http://unfccc.int/adaptation/cancun_adaptation_framework/loss_and_damage/items/6056.php; www.lossanddamage.net

Since the accreditation of the first Implementing Entities and the first call for proposals by the Adaptation Fund Board (AFB) in 2010, it has become obvious that the outcomes and impacts of AF-financed projects for vulnerable communities will determine the true value of the Fund. Aware of this challenge, and based on previous tracking of the Fund's development, several non-governmental organisations (NGOs) established an AF NGO Network in order to be involved with the implementation of AF projects. The AF NGO Network is an independent network made up of more than 30 organisations. It strives to contribute to successful outcomes of AF projects for the benefit of the most vulnerable communities in project areas. The Network intends to study the AF development to show how institutional innovations can rise to the challenge of adaptation. It will also strive to contribute to the political setting up and endowment of the AF into the whole debate on climate finance architecture.

At country level, the Network's partner organisations aim to act as a bridge between the most vulnerable communities and the entities entrusted with implementation of an AF project. Accordingly, the Network's partners advocate for an inclusive and transparent consultative process from the outset of each project until the final evaluation. In doing so, the AF NGO Network promotes and supports sustainable dialogue between interested stakeholders at national level and between NGOs and members at international level. This is indispensable to ensure positive project outcomes as well as to keep AF Board members informed about the advancement of projects.

Communicating the targeted communities' expectations and concerns is another important task. At international level, Network members try to influence the development of the AF by providing regular briefing papers and policy suggestions, and by interacting with members at AFB meetings. Civil society dialogue held in advance of AFB meetings has become an important tool in this regard. The overarching principle of the Network is to cooperate constructively where possible with all institutions involved in an AF project, and to criticise where it is deemed necessary.

After two years of existence, the AF NGO Network has achieved much. The Network is regarded by the AFB as a solid partner, among others. It independently assesses and follows the work of the Board. At almost every meeting, AFB members exchange views on key elements to be debated on the agenda of the given meeting; the Network often submits views on strategic discussions related to the daily business of the AF. Through its activities, the Network and its members have contributed, inter alia, to:

- **an increased awareness** of the strategic priority to give special attention to the particular needs of the most vulnerable communities;
- **greater transparency** in AF work, for example through regular webcasting of sessions, public disclosure of technical reviews of project proposals, and review comments made by the Board to Implementing Entities;
- **improvements to important provisions** such the project development guidance related to the consultative processes, consideration of the needs of vulnerable communities and gender issues, the evaluation framework, and knowledge management;
- **an enhanced, cooperative working relationship** between the AFB and civil society, and increased attention to civil society contributions , for example through regular dialogue with civil society, and recognition of civil society in the knowledge management strategy and the evaluation framework.

In developing countries, the Network's partners have issued baseline mappings showing the level of involvement of the different stakeholders in the projects. They have also engaged in ongoing exchange with the implementing agencies. In addition, the partners have regularly organised national workshops on the AF projects and conducted several field visits. The field visits have helped to generate insights on how AF operations are perceived by the intended beneficiaries.

Apart from providing a general overview of Adaptation Fund operations, this publication contains independent case studies from different countries where AF projects are being implemented or will be implemented. The case studies not only gauge the situation in different countries, but also make realistic recommendations to improve implementation early on rather than only through end-of-project evaluations. This should inform the implementation of AF projects in other countries.

Adaptation Fund: overview of key features		
Project level		
Full projects approved	27	Argentina, Cambodia, Colombia, Cook Islands, Djibouti, Ecuador, Egypt, Eritrea, Georgia, Honduras, Jamaica, Lebanon, Madagascar, Maldives, Mauritania, Mauritius, Mongolia, Nicaragua, Pakistan, Papua New Guinea, Samoa, Senegal, Solomon Islands, Sri Lanka, Tanzania, Turkmenistan, Uruguay
Project concepts endorsed (full project not yet approved)	10	Argentina, Benin, Belize, El Salvador, Fiji, Guatemala, Myanmar, Seychelles, Lebanon, Paraguay, Peru
Funding Decisions (full project)		US$178 million
Implementing Entities (IE) accredited		
National (IE): Direct Access	15	Argentina, Belize, Benin, Chile, Costa Rica, India, Jamaica, Jordan, Kenya, Mexico, Morocco, Rwanda, Senegal, South Africa, Uruguay
Multilateral	10	ADB, IFAD, UNDP, WFP, World Bank, WMO, IABD, ADB, BOAD, UNESCO
Regional	1	West African Development Bank (BOAD)
Resources in AF Trust Fund (in US$)		
Obtained through certified emission reductions (CERs) monetisation		186.28 million
Voluntary contributions by developed countries		119.46 million
Funds available to support new funding decisions		119.21 million

Source: Own compilation, based on information at www.adaptation-fund.org and decisions taken at the 19th meeting of the AFB, December 2012

1.2 Adaptation Fund operations

Assisting vulnerable countries to adapt to climate change requires significant resources. Reliable estimates on adaptation costs in developing countries are unavailable[3], but they are likely – with the current low level of ambition to curb greenhouse gas emissions – to run into tens of billions of dollars per year in the next decade.

Adapting to climate change also requires a structural shift of institutional arrangements and policies, so as to transform scarce financial resources into a system that works for the most vulnerable. Effective adaptation relies on adequate institutional structures, coordination and cooperation between institutions, and in particular, strong participation by vulnerable groups (Kaloga et al 2009). Investments in 'hard' infrastructure such as anti-salt dykes or construction of flood walls and barriers – if undertaken in the right manner – are as necessary as spending on capacity- and institution-building, innovation and risk management (Harmeling and Kaloga 2010).

The Adaptation Fund was created at the critical time, when international negotiations seemed to be drawn-out, in order to display tangible results on the ground and demonstrate its potential, until a climate finance architecture is shaped. Unlike other funds under the Convention, such as the LDCF and the Special Climate Change Fund (SCCF), the AF was established by the Parties to the Kyoto Protocol of the UNFCCC, in Marrakesh in 2001. It's main goal is to finance practical adaptation projects in developing countries that are Parties to the Kyoto Protocol (Decision 10/CP.7).

However, because negotiations were being delayed, only six years later, in 2007 in Bali, Parties to the Kyoto Protocol (CMP) decided that the operating entity of the Fund would be the Adaptation Fund Board served by a Secretariat and a Trustee (Decision 1/CMP.3). Currently, the Global Environment Facility (GEF) provides secretariat services and the World Bank serves as the Fund's trustee. Both institutional arrangements are on interim basis[4]. Because of its unique features – such as the way it is funded, managed and governed – the AF has generated the interest of several stakeholders working in international climate finance.

Key innovative features of the Adaptation Fund

Funding mechanism: The Adaptation Fund was not designed as a traditional donor-driven fund. Its main source of finance is a 2% share of proceeds of certified emission reductions (CERs) issued by the Clean Development Mechanism project activities under the Kyoto Protocol. This mechanism allows industrialised countries to invest in clean energy projects in the developing world in return for offsetting carbon emissions. By the middle of 2012, this mechanism had raised US$119.46 million (AFB 2012a).

However, the price of the CER unit has fallen due to low emission ambition in developed countries. The deficiency of the carbon market has forced the AF to set a country cap of US$10 million for projects, in order to avoid a 'first come, first served' situation. Moreover, the AF has set an initial fundraising target of an additional US$100 million until the end of 2013.

Unfortunately, only a small number of developed countries have so far transferred substantial resources into the AF to compensate for and complement the difficult CER situation. Given the specific nature of the AF and its achievements in its two years of operation, it is hard to understand what is preventing developed countries from pledging funds to the AF.

[3] For instance, a study commissioned by the UNFCCC in 2007 estimates the cost of adaptation to be in the range US$27–66 billion by 2030 to help developing countries to adapt (UNFCCC), while the World Bank estimates that even in a 2°C world, adaptation costs for developing countries will amount to a minimum of $70 billion by 2020 and to up to $100 billion a year by 2050.

[4] In Doha, Parties agreed on the extension of these interim arrangements of the AF as result and assessment of the effectiveness and efficiency of the services provided by both the Trustee and the Secretariat. For further information see: http://germanwatch.org/de/4148

Governance structure: The AF is governed by the Adaptation Fund Board. The AFB is comprised of 16 members and their deputies; the overall majority are from developing countries. This representation enshrines the UNFCCC principle of equitable and balanced representation of all Parties in term of governance structure, more than the governance composition in any other existing Funds. Although all decisions are reached through consensus, it is important to mention that if the Board cannot reach agreement, two-thirds of the members are needed for a majority decision, which does not allow for domination by any one group. De facto, the AFB has developed a spirit of teamwork, which could inspire other similar bodies.

Access methods: The AF allows developing countries to directly access its resources – a first for climate finance. This principle of direct access aims to simplify and accelerate the process by which resources for adaptation flow to developing countries. In other words, direct access converts into reality the notion of ownership, by which developing countries carry out their own actions through their own institutions (Kaloga et al 2011). There are two ways in which eligible countries can access AF resources: the first is the 'classic way', whereby countries submit their project through Multilateral Implementing Entities (MIEs); alternatively, countries can nominate and accredit domestic institutions as National Implementing Entities (NIEs), which will then submit their projects.

MIEs and NIEs have to meet the same international fiduciary standards set by the AFB. The fiduciary standards should guarantee the credibility of the Board and warrant that the IEs have the required financial integrity and institutional capacity as well as transparency and self-investigative powers to manage entrusted funds. Accredited IEs are direct recipients of funding and bear full responsibility for its use. So far, 15 NIEs have been authorised to receive money from the Adaptation Fund [5]. In some countries, the accreditation process has proved to be difficult, but in others it has triggered institutional reforms and progress, which are important in addressing the challenges of adaptation now and in the future (AFB 2012b).

Due to its scarce resources, but also concerned about the fulfilment of its objective of promoting direct access projects, the AFB decided that total funding for MIEs should not exceed 50% of the overall available funding amount at each board meeting. This decision has been seen as a way of preventing the AF from becoming another MIE fund, such as the GEF-managed funds or the Climate Investment Fund under the World Bank.

Accredited NIEs differ from each other in the way they are governed and managed as well as in the field of their expertise. Experience of the accreditation process and regional workshops on the process and requirements of accreditation showed that there is no single format or institutional set-up that an Implementing Entity should have in order to master the accreditation process.

[5] Six NIEs are in Africa (Benin, Morocoo, Kenya, Rwanda, Senegal, South Africa), seven in Latin America (Argentina, Belize, Chile, Costa Rica, Jamaica, Mexico, Uruguay) and two in Asia (India, Jordan).

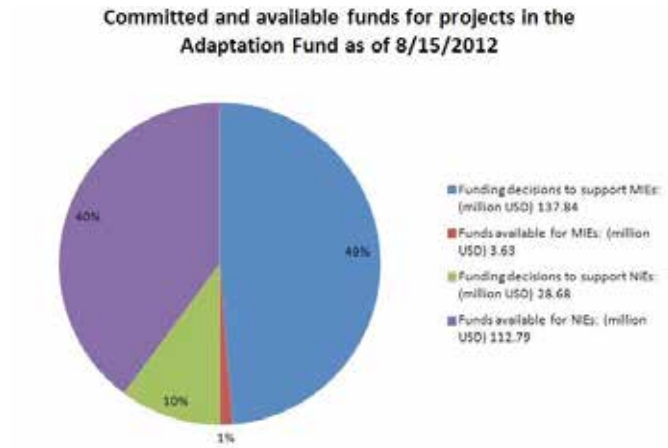

Figure 1: Distribution of AF financial resources for projects
Source: http://www.adaptation-fund.org/page/funding-status

Special attention to most vulnerable communities

The AF is unique in giving strategic priority to meeting the needs of the most vulnerable communities (Adaptation Fund 2011). A particular strength of the AF is that it combines the financing of adaptation actions with a focus on poor people in project areas. Where the most vulnerable communities are at severe risk from climate change, urgent and specific interventions is required. This is better achieved through practical projects rather than programmatic and longer-term integration of climate risks into policy and planning.

Summary

The Adaptation Fund has made significant progress over the past three years and is fully operational. Building on its lessons learned is crucial. Ensuring that the most vulnerable people are put into the heart of adaptation funding is one key task for international action, derived from international human rights obligations. Effective international funding institutions should contribute to this objective as much as possible.

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At the 13th meeting of the AFB in Bonn: Emmanuel Seck from ENDA TM, Sven Harmeling from Germanwatch, Indy Mclymont-Lafayette from Panos Caribbean, Isaac Ferrera from Fundación Vida, and Alpha Oumar Kaloga from Germanwatch (from left to right).

2 How civil society can help shape the success of the AdaptationFund

The success of Adaptation Fund (AF) projects will depend, to a certain extent, on the involvement of civil society organisations and stakeholders, particularly vulnerable groups in project areas. Because of their close relationship with vulnerable communities, and because they advocate for the interests of the most vulnerable communities, civil society organisations are critical to the AF. They can contribute to the success of the AF through observing its operations and engaging in constructive dialogue with responsible institutions.

This section is based on the experience of members of the AF NGO Network. It provides an overview of actions that civil society organisations can take primarily within their own countries, but also at Adaptation Fund Board (AFB) level internationally.

The aim of civil society actions should be to ensure that AF projects consider the particular needs of targeted communities and place those needs at the heart of all projects. Although activities will generally not differ between projects implemented under direct access and those implemented by multilateral institutions, the opportunities and broader political implications of a successful direct access pilot under the AF should be in the interests of civil society and therefore be given special attention.

Civil society organisations could engage in the following activities related to the institutional elements and project cycle steps under the AF.

Before project submission

Responsible institutions (eg government agencies, Implementing Entities (IEs)) should initiate a process to involve civil society early on in a meaningful way, before a project (or even before an Implementing Entity) is identified. AF provisions require at least an initial consultative process before submission of a project concept (AFB 2011a).

Such a consultation process would allow civil society organisations to propose or get involved in the identification of specific projects or key areas to target and to raise comments and concerns on project proposals that the government plans to submit. In Senegal, Jamaica and South Africa, project identification was preceded by consultations with civil society (see case studies).

Contact designated authorities

Civil society within a developing country can engage early on directly with the responsible government agencies before a project is submitted to the AFB.
The primary contact point is the designated authority (DA), which would generally oversee a country's operations in relation to the AF. The DA should be able to provide information about the status of project identification, plans for submission to the AFB, etc. A list of DAs is available on the AF website:
www.adaptation-fund.org/page/parties-designated-authorities

Engage with Implementing Entities

Implementing Entities, both national and multilateral, will bear all responsibility for AF-funded projects and will play a key role in identifying, implementing and overseeing the projects. Therefore, it is important that civil society organisations engage with IEs early on.

In the case of direct access projects, once a country has successfully managed the accreditation process, the institution that will perform the functions of the National Implementing Entity will be known. The list of National Implementing Entities (NIEs) with their contact information can be found at:
www.adaptation-fund.org/national-implementing-entities

Between project submission and AF consideration

Once a project concept or full proposal has been received by the AF Secretariat, the documents are put up on the website before being considered by the AF Board. This is usually around eight weeks before an AFB meeting. Civil society organisations can submit comments publicly on the website or they can submit comments directly to the Secretariat. The proposals are usually posted at: *https://www.adaptation-fund.org/submittedproposals*

This is a great opportunity to provide views, both positive and negative, which AFB members can consider when discussing a project. The AFB usually provides guidance to project proponents about how to improve their project concept before they submit a fully developed proposal. This is a key moment when suggestions from civil society can be integrated into official AFB guidance.

Usually, every project proposal contains contact details for the in-country responsible people as well as the IE in charge of the project. Often, project documents also include a list of stakeholders consulted, sometimes with their email addresses. These people and organisations could be contacted to find out the extent to which they have been consulted and how far their concerns are mirrored in the proposal.

Civil society cannot be denied the opportunity to be consulted, as AFB provisions require a comprehensive consultative process:

"For a fully developed proposal, a comprehensive consultative process has to take place, and should involve all direct and indirect stakeholders of the project/programme, including vulnerable groups and taking into account gender considerations. The results of the consultative process must be reflected in the project design. Under extraordinary circumstances, the consultation of a specific stakeholder can be deferred to the implementation stage, if it enables a more effective consultation (e.g. if beneficiaries for specific activities have not been identified yet). However, if the project specifically targets the most vulnerable groups, they will have to be identified and consulted by the time of submission."
(see Adaptation Fund 2011a)

Engagement at the level of the Adaptation Fund Board

The AFB meets three times a year. A meeting is usually conducted with a closed session, where Board members discuss substantial or more confidential issues (eg in the committees on Ethics and Finance, and Project and Programme Review). The two last days of the meeting are open, and these open sessions are webcasted.

The day before the AFB meeting, there is usually a meeting with civil society representatives, who can give their views on specific agenda items or other matters. The AF NGO Network has been operating in this way over the past months to find out, in particular, about developments at country level. This is perceived by the Board as very important, since AFB members usually do not receive firsthand information from country stakeholders about the implementation progress.

Civil society observers can engage and interact with AFB members informally at AFB meetings. This has proved to be effective useful way of facilitating effective communication – for example, where observers wish to suggest textual amendments to certain documents. A more institutionalised approach, such as dedicated active observers who can make statements during each agenda item, is not yet in place. The governing instrument of the Green Climate Fund contains a similar provision, but this has yet to be operationalised.

Although civil society attendance at every AFB meeting is not required for project work, the experience of the AF NGO Network shows that it is useful for civil society representatives to see how such a governing body operates, to get to know AFB members, and to play an informed role in AF operations in their country.

Observing and monitoring project implementation

The success of a project (and the AF as a whole) is ultimately dependent on the quality of the project implementation. During project implementation new challenges often emerge, which may lead to changes in the project. Also, in their inception phase, projects often undertake additional

consultations with local people, which is an important entry point for civil society to improve a project and highlight any risks and concerns. Therefore, continuously following project implementation through regular exchange with the Implementing Entities, government agencies and executing entities is an important task. Field visits and independent ongoing consultations with local communities are also critical for the success of a project.

Providing feedback to other institutions involved will confirm that they are seen as a serious partner and will improve project implementation. Engaging or coordinating with other national and local civil society organisations around AF projects could help to build capacity on adaptation in general and to track multilateral adaptation funding. Implementing Entities are required to submit regular reports, mostly annually, but although these are important information sources, the intervals are too long for meaningful engagement of civil society locally.

The knowledge management framework of the Adaptation Fund explicitly requires "enhancing the engagement of civil society" (Adaptation Fund 2011b). The purpose is to strengthen links with civil society within a country and also at international level. Civil society can contribute to knowledge management through specific activities, such as workshop, information meetings, local consultations, etc.

Mid-term and terminal evaluations

AF projects are generally subject to mid-term (if a project lasts more than two years) and final evaluations. The Evaluation Framework of the AF stipulates that:

"All evaluations conducted by the Adaptation Fund will seek to engage with relevant civil society organisations (CSOs) to ensure that their views and perspectives are heard and taken into account in the evaluation. The relevant CSOs should be selected according to the type of projects, for example for national or regional activities umbrella or international CSOs may be most appropriate while for locally based activities, local communities maybe more relevant. A description of the engagement and the CSOs involved in the evaluation needs to be included in the final evaluation. The civil society organisations have an important role in contributing to the integrity of Adaptation Fund Board policies, including policies on evaluating performance and achievement of results."
(Adaptation Fund 2011c)

This provides the basis and legitimacy of requests made by civil society organisations to IEs be consulted with involved in AF projects.

Summary

Civil society can engage on different levels and at different stages of the project cycle. The case studies contained in this document provide detailed and useful examples of how civil society organisations can act in this regard.

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3 Case studies: Purpose, methodology and key findings

3.1 Purpose

It is important that civil society is able to observe, and constructively contribute views on, the use of climate finance intended to serve the most vulnerable people in developing countries. In this context, the Adaptation Fund (AF) is an important institution as its strategic priority is to give special attention to the particular needs of most vulnerable communities.

Civil society organisations that participate in the AF NGO Network have an important role in generating independent insights into the implementation of climate change adaptation projects in developing countries, as documented in this compilation of case studies.

Each of the commissioned case studies describes the implementation of an AF-funded project, based on in-country consultations. A special emphasis in the work of the AF NGO Network lies on countries with direct access. The rationale of doing so is that direct access is an innovative approach to ensure ownership and increase responsibility of developing countries. However, only three direct access projects have been approved so far (Senegal, Jamaica and Uruguay); case studies from Senegal and Jamaica are included in this document. A particular emphasis was also given to the level of community and other stakeholders' involvement in the project, with the view to assessing the level of ownership of vulnerable communities in the project.

It is important to note that the projects presented here are in different stages of implementation. The project in Senegal was the first direct access project and is in its final stage of implementation. In South Africa, stakeholders are engaged in the process of identifying and selecting priority adaptation projects for submission to the AF. Among the projects run by multilateral Implementing Entities, the projects in Honduras, Nicaragua and Pakistan are among those most advanced. Originally, we planned to include more case studies. However, when we approached non-governmental organisations (NGOs) in some of the implementing countries, including Madagascar, it became apparent that, for various reasons, some projects have faced significant delays. For some time, UN implementing agencies were unable to commence implementation because of contractual issues that needed to be clarified with the Adaptation Fund Board (AFB). In other cases, it took more time to find and contract a project manager. This situation is underlined by the fact that there are very few inception reports currently available[6].

The analysis of the case studies focuses on factors determining the success of the development and implementation of adaptation responses, including:

- collaboration of the implementing agencies with external stakeholders
- methods of accessing funding
- levels of awareness among stakeholders involved in respective projects and within the countries
- engagement of vulnerable communities in project areas
- public awareness
- achievements and challenges
- lessons learned conclusions

The table on the next side provides an overview of the case studies undertaken.

3.2 Methodology

Material for the case studies is based on qualitative research on project documents and processes. The research methodology included consultations with relevant stakeholders at different levels, project beneficiaries, implementing and executing entities, government agencies, and other civil society organisations. In addition, the level of public awareness about adaptation to climate change, particularly in project areas, is noted in the case studies. Several interviews were conducted in order to gauge the perception and expectations of all stakeholders, particularly those living in the project areas.

Each case study starts with an overview of the project – information on the implementing agency, the focus of the project and the stage of implementation. This is followed by country background, including climate change scenarios, adaptation challenges, as well as an overview of national policy on climate change and the institutions engaged in implementation of the project. The third part of each case study describes the project process – from concept drafting to current stage of implementation, pointing out achievements and challenges. The last part of the case study summarises lessons learned and conclusions.

Limitations

The findings presented in this document cannot be assumed to be applicable to all projects financed by the Adaptation Fund, as countries differ in climate change context, the social and political realities, and the nature of Implementing Entities. Also, research for these case studies was carried out with limited resources and time, so although they provide useful and significant insights into the projects they do not constitute a full assessment of all aspects of each project.

In addition, given the different scope of the studies and time constraints, this report cannot claim to be comprehensive, although every effort has been made to ensure that key issues are highlighted.

[6] https://www.adaptation-fund.org/funded_projects

Country and Implementing Entity	Project context	Project approval date	Partner in compiling the case study, contact person
Honduras (United Nations Development Programme (UNDP))	Addressing climate change risks on water resources in Honduras	March 2011	Fundaciòn Vida, Isaac Ferrera
Pakistan (UNDP)	Glacier-lake outburst floods	December 2010	LEAD Pakistan, Kashmala Shahab Kakakhel
Senegal	Adaptation to coastal erosion in vulnerable areas	September 2011	Enda TM, Emanuel Seck
Nicaragua (UNDP)	Reduction of risks and vulnerability based on flooding and droughts in the Estero Real River watershed	December 2010	Centro Humbolt, Mónica López-Baltodano
Jamaica	Enhancing the resilience of the agriculture sector and coastal areas to protect livelihoods and improve food security	June 2012	Panos Caribbean, Indy McLymont-Lafayette
Benin	Adaptation of Cotonou Lagoon ecosystems and human communities to sea level rise and extreme weather events impacts		OFEDI, Krystel Dossou
South Africa	Establishing and NIE and developing a project proposal for the AF		INDIGO Development & Change, Bettina Koelle

Each case study describes the geographical location, the themes driving the initiative, and details of the development and implementation of the projects to deliver adaptation benefits and other positive impacts.

Nevertheless, the findings are important in unveiling the dynamics and realities of adaptation-differentiated impacts of climate change, including climate variability towards climate resilience. They provide a baseline assessment on which future analyses of project implementation progress can build.

3.3 Key findings

The case studies show similarities and differences. Of course, it is quite difficult to compare the countries where the case studies were conducted because of different national circumstances and the different nature of the Implementing Entities. Furthermore, projects have different objectives.

Regarding similarities, it was highlighted in almost all the case studies that the projects are welcome and timely because of growing demand for adaptation action. Not surprisingly, projects only address some key components of the more complex adaptation needs within each country. Due to the significant, though modest, resources provided by the AF (maximum US$10 million per country), most of the case studies note that there are calls for increased resources. The rationale is that funded projects will have significant impacts only if other unfunded components of national strategies they emanate from receive funding as well. For instance, in Senegal the anti-salt dykes will prevent salinization of some rice fields in Joal and will improve productivity. However, it was clear that some villages in the area are now noticing sea saltwater in their fields because of the dykes built upstream. To avoid the situation where an adaptation project in one region results in maladaptation in another, it is vital to:

extend anti-salt dykes so as to avoid negative impacts (as in the above example)

undertake an impact assessment to inform further action and avoid maladaptation

scale-up the provision of resources so that countries can implement more comprehensive adaptation strategies rather than single, stand-alone projects[7].

Another common finding noted in the case studies is that project implementation has triggered and reinforced inter-ministerial and inter-sectoral links and relationships. Most of the countries have set up steering committees dedicated solely to implementation of the project. It is important to keep such committees alive beyond the life of the project, to serve as a platform for exchange and information-sharing.

However, it is evident that coordination within such groups, between national institutions, and among involved stakeholders is critical and at the same time challenging. Key challenges have been identified by the multi-stakeholder steering committees and these need to be addressed. It is thus important to maintain the momentum so as to further promote the exchange of views among the different parties involved and the projects implemented.

The level of awareness and information-sharing differs from country to country, but also from one Implementing

[7] One option could be that Senegal submits a subsequent project that would aim at expanding the anti-salt dyke, with a view to avoiding and addressing any negative impacts of the infrastructure on neighbouring villages in Joal. The cost of the current project is US$8,619,000, which, according to the $10 million cap, would still leave US$1,381,000.

Entity to another. For example, the project in Nicaragua has faced difficulties in getting access to important information from the government and to some extent from the Implementing Entity, while in Honduras Implementing Entities have satisfied all information requests. It is interesting to note that both projects are run by the United Nation Development Programme (UNDP). This points to the importance of a country's overall political situation and level of democratisation, and the consultative process undertaken from project design to implementation.

For instance, Senegal has one of most consolidated democratic systems in Africa, and this is reflected in the way the NIE has been identified, how the project is implemented and how the NIE is dealing with other actors interested in the best outcomes of the project. Senegal is the only country in which NGOs and local organisations are running the project as executing entities.

In some countries, government institutions have been struggling among themselves to secure a central role in the implementation of AF projects. In Pakistan, for example, changes in the ministerial set-up have contributed to delays in project implementation. Such institutional conflicts can adversely affect project outcomes and may lead to unnecessary delays.

It is also clear that a change of government through election or change in the leadership of respective particular ministry could adversely affect a project. In Honduras, as a way to provide for such a scenario, project stakeholders signed an agreement in which institutions commit to continuing their engagement in the respective project no matter who the lead institution might be in future.

Last, but not the least, there are differences between the consultative processes in the different projects examined. While in some projects there was a strong and dynamic consultative process, in others there was a lack of inclusive consultation. This issue has been emphasised as a key challenge to be quickly and adequately addressed in order to ensure the sustainability of the projects.

3.4 Some recommendations and the road ahead

The findings illustrate the fact that implementation of adaptation projects presents issues and challenges requiring multi-stakeholder and multi-institutional engagement.

There is no specific solution that can be applied to all countries, but some conclusions can be drawn from the case studies, bearing in mind that projects are at different stages and so findings are necessarily preliminary. However, the strength of these preliminary views is that they will be relevant throughout the course of project implementation.

1. Local stakeholders (local communities, NGOs and local government) must be involved from the beginning of the project design until the last stage of the evaluation. It is too early to say whether the revised AFB guidance, which was approved at the 17th meeting (March 2012), will have sufficiently positive effects in this regard.

2. Related to inter-institutional and multi-stakeholder coordination, the projects provide a useful opportunity to promote transparency and the free flow of information between institutions and communities.

3. The establishment of synergies between all the actors (government, beneficiaries, universities and NGOs) seems to be the main route towards simplifying processes and enhancing results.

4. Ownership by targeted communities is easier to secure when the project contains some infrastructure components or tangible deliveries. It can be more difficult to effectively engage local communities in projects with stronger capacity-building elements, such as setting up an early-warning system, although in general there is an understanding that these problems need to be addressed.

5. Accreditation of the National Implementing Entity opens up opportunities for better governance of climate finance and for strengthening the institutional capacity of developing countries.

6. Direct access is not an impediment to forming direct links with local communities and engaging civil society as executing entities. On the contrary, it can be a tool for enhancing dialogue between responsible agencies and civil society.

7. Mainstreaming climate change adaptation projects and involving the most vulnerable groups are critical and require a holistic approach.

Drongagh Valley Glacier, Chitral, Pakistan

4 Honduras

Adaptation Fund profile

Project Title:	Addressing climate change risks on water resources in Honduras; increased systemic resilience and reduced vulnerability of the urban poor
Project document:	www.adaptation-fund.org/sites/default/files/Hondorus%20Project _ 0.pdf
Adaptation Fund Board approval date:	17 September 2010
Duration:	2011 to 2015 (five years)
Budget:	US$5,698,000; US$2,957,066 disbursed as of November 2012
Implementation:	United Nations Development Programme (UNDP)
Execution:	Natural Resources and Environment Secretariat (SERNA)
State of implementation:	In September 2012, the project is in its implementation phase, specifically, in the first semester of the second year.
Case study prepared by:	Fundación Vida, Honduras

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/ho.html

4.1 Country background

Honduras has a variable climate with extremely hot and wet areas on the Atlantic coast, cool and rainy areas in the high mountains, and dry and hot areas in the south. Nonetheless, these climate patterns are affected by topography, changes in land use, rates of deforestation, and the effects of climate variability dictated by the occurrence of El Niño–Southern Oscillation (ENSO).

Future climate scenarios for Honduras indicate that water will become increasingly scarce due to climate change. For example, a national study on future climate scenarios (Argeñal 2010), based on Intergovernmental Panel on Climate Change (IPCC) scenarios, predicted a likely 5% decrease in annual rainfall by 2020 – particularly in departments located in the northwest and in the southeast corridor. It also projected a 0.5–0.75oC rise in mean annual temperature, especially in departments in western and southern regions. By 2050, a 20–25% decrease in precipitation is projected for most parts of the country between the months of June and August, with deficits exceeding 30% for most areas during July and August – especially in western departments. This decrease in rainfall in the middle of the rainy season will mean that most of the country will experience longer periods of hot, dry weather – putting crops at risk and leading to shortages of water for human consumption. The pessimistic scenario for 2090 presents a 30–40% decrease in precipitation with rises in temperature of more than 4°C in most of the country.

Overcoming the challenges of climate change in Honduras is not an easy task, especially because impacts such as water scarcity, higher temperatures, and intense rains during extreme weather events severely affect major economic activities. However, the government is now developing policies and plans to improve resilience and reduce vulnerability. An example of this is the introduction into national planning of processes for climate change adaptation and mitigation, namely into the Nation Plan 2010-2022.

Likewise, the creation of a National Strategy for Climate Change (SERNA 2010) as an instrument within the executive framework of a Climate Change Inter-institutional Committee (CCIC), serves as a guide for the implementation of public policies on climate issues.

In addition, the government has created a National Climate Change Directorship (NCCD) within SERNA, the country's Ministry of Natural Resources. This office serves as the National Focal Point for the United Nations Framework Convention on Climate Change (UNFCCC) and as the Designated National Authority (DNA) of the Kyoto Protocol for Honduras. This directorship is in charge of coordinating actions to implement national policies for mitigation of greenhouse gas emissions, as well as adaptation to the adverse effects of climate change.

In addition, civil society organisations, universities and international agencies have started to promote and finance projects on climate change; they have also been working with SERNA and other government institutions on research projects and publications to publicise information on the country's environment.

4.2 Objectives of the project and state of implementation

The project is currently in its second year of implementation. The objectives of the project are set within three major components:

1. strengthen relevant institutional structures including the National Water Authority, in order to mainstream climate change risks into water resource management as well as into national planning, public investment budgeting and decision-making processes;

2. pilot comprehensive measures to safeguard water supplies in Tegucigalpa and surrounding areas in response to existing and projected water scarcity and to vulnerability to extreme climate events;

3. target capacity-building and outreach to enable stakeholders at all levels to effectively respond to long-term climate change impacts.

"This project has made us talk among institutions about climate change and development issues as well as planning and institutional coordination." Alberto Laínez, AMITIGRA

Runoff after a precipitation episode in Nueva Danlí neighborhood, Tegucigalpa. Heavy rain like this generates flash floods and destroys the roads and other infrastructure in the region.

Project components and budget

Project component 1: Strengthen relevant institutional structures including the National Water Authority, in order to mainstream climate change risks into water resource management as well as into national planning, public investment budgeting and decision-making processes	US$1,358,500
Project component 2: Pilot comprehensive measures piloted to safeguard water supplies in Tegucigalpa and surrounding areas in response to existing and projected water scarcity and to vulnerability to extreme climate events	US$2,950,000
Project component 3: Target capacity-building and outreach to enable stakeholders at all levels to effectively respond to long-term climate change impacts	US$310,000
Project execution cost	US$500,000
Total project cost (execution included)	US$5,180,000
UNDP management fee	US$518,000
Grant amount	US$5,698,000

Source: https://www.adaptation-fund.org/project/1330-addressing-climate-change-risks-water-resources-honduras-increased-systemic-resilience-

4.3 Process from concept to implementation

With the aim of improving resilience and reducing vulnerability to climate change impacts, SERNA and the United Nations Development Programme (UNDP) worked on a project proposal and submitted it to the Adaptation Fund (AF) in 2010. The proposal was approved by the Adaptation Fund Board (AFB) in 2010 and started its operational phase in June 2011.

The project was conceptualised and defined at the same time as the National Strategy for Climate Change (NCCS) was being designed. As a result, it is considered to be the first project crafted in the context of the country's climate change strategy. Inputs into, and concerns raised within, the strategy drafting process were usefully incorporated into the project design. The project design was also helped by studies carried out by international agencies and took advantage of surveys undertaken in the project area to get the opinions of local people about the most vulnerable areas and most significant problems. This process was carried out jointly with Tegucigalpa city officials, and involved interviews with 650 people (SERNA/UNDP 2010).

Once the project was approved, SERNA defined an implementation structure that would ensure transparency, participation by different sectors, and reduction of administrative and labour costs. By the time the project was

approved, the CCIC had been formed. This is a political and technical dialogue platform that advises the government on the issue. It is comprised of representatives of the State Secretariats, universities, cooperation agencies and more than 40 civil society organisations. The project was placed within this institutional framework and a Project Board appointed.

On the Project Board are representatives from SERNA, University of Honduras (UNAH), National Institute for Forest Conservation and Development (ICF), National Autonomous Service for Water and Sewage (SANAA), Municipality of Tegucigalpa (AMDC), National Meteorological Service (SMN), Honduran Federation of Non Governmental Organizations (FOPRIDEH) and Inter-University Committee of Environmental Sciences (CICA).

Day-to-day management of the AFproject is undertaken by SERNA, through a coordinator who guides the work of the six multi-sectoral groups serving as field implementers. SERNA has signed working agreements with the implementing institutions: UNAH, SMN, AMDC, COPECO-Permanent Contingency Commission, ICF, SANAA, IP-Property Institute, DGRH-SERNA–General Directorate of Water Resources, and SEPLAN-Secretariat of Planning.

> *"The challenges ahead are not only technical; they are mainly institutional as climate change adaptation requires a multisectoral approach."* **Romeo Bernal, Project Coordinator**

4.4 Achievements and challenges

Although the project has faced various challenges, it has successfully found strategies to overcome them. It is important to stress that this is the first project being implemented within the NCCS framework, as well as under the direction of the CCIC, so institutional arrangements, technical approaches and administrative processes are new to everyone involved. The learning process has depended on institutions' and officers' understanding of, and ability to adapt to, new and coordinated ways of working (technically and administratively). There have been delays, although some institutions have moved ahead quicker than others.

In the course of interviews, officers from Implementing Entities (IEs) and from civil society organisations identified four main challenges, as follows:

Inter-institutional coordination: As in other countries, in Honduras it has been challenging to maintain operational coordination among institutions, especially if intra-institutional coordination is weak and there is some overlap of functions. However, six inter-institutional and multidisciplinary teams are working on project implementation, including at least three government institutions, as well as beneficiaries and civil society organisations.

The teams are working on:

- territorial planning;
- forest corridor conservation;
- meteorological network strengthening;
- research and training;
- risk management infrastructure;
- water provision.

The joint working enhances capacities, improves communication and strengthens relationships between government institutions. In addition, involving government institutions generates confidence in project beneficiaries because they receive the same message from different institutions and value that coordination. This inter-institutional coordination also makes it possible to incorporate – in an operational manner – climate change onto the agendas of different institutions.

Participation by beneficiaries: All those interviewed as part of this study agreed on the importance of beneficiaries' continuous participation. After less involvement in the planning phase, beneficiaries are now, in the implementation phase, playing an active role in field activities. Field activities have involved community organisations, local water boards, watershed councils, and others. Both men and women have been included, which has been important as, for instance, in the validation of infrastructure design for rainwater harvesting, women can give their views on the potential benefits. The activities are scheduled to ensure the equal participation of women and men in the communities; further participation strategies like this would be beneficial. It is important to note that most of the beneficiaries interviewed are in favour of the project because:

- they benefit not only from the infrastructure but also from knowledge acquired on climate change and water resource management
- closer relationships have developed between communities
- they receive support from the implementers.

Actually, beneficiaries see this project as an opportunity to increase their adaptive capacity and knowledge (which they believe is the only way to adapt to climate change), and to improve their interpersonal skills.

"Thanks to this project, I am more aware of how climate change affects our community. Now, I am able to share this knowledge with other community members and decide on how to deal with the challenges."

Daniela, Project Beneficiary

Leaders of the communities that are beneficiaries of the project during the interview process for this case study.

Participation of non-governmental organisations: Until now, there has been coordination in some activities with non-governmental organisations (NGOs), especially on communicating climate challenges and natural resource conservation activities. Although project implementation is working well, further NGO involvement would be useful, as some NGOs have experience of climate change issues and of working on activities similar to those pursued by the project. Their contributions could deepen the effectiveness of the project.

In addition, NGOs could help to maintain project implementation should there be a change of government because NGO staff tend to be more permanent.

Government changes every four years: Every four years a new government is elected and this usually leads to staff changes in government institutions. For this 5-year project, there is the possibility of having to train new government employees, which would obviously delay implementation. There is also a chance that not all new government officials would appreciate the project approach or the inter-sectoral and participatory ways of working. This could be a barrier to effective project implementation. To avoid this, the project has signed agreements in which institutions make a commitment to finish their duties for this project no matter who may in charge of the institution in the future. This agreement should remain on the agenda of CCIC, UNDP and civil society.

4.5 Lessons learned and conclusions

Although the project is in the early stage of implementation, the abovementioned challenges and achievements provide important lessons for climate change adaptation. In relation to inter-institutional coordination, this project has facilitated information-sharing between institutions and communities. Within the institutions, there is better communication, and between communities better relationships have been built. This means that knowledge and awareness of the importance of climate change adaptation is more widely spread. The creation of synergies between all the sectors (government, beneficiaries, universities and NGOs) has proved to be the main route to simplify processes and enhance results.

In summary, it can be said that only by articulating, generating and disseminating information, and by planning and creating synergies between all the sectors and institutions involved, can the country move forward and achieve the goals of this project as well as the targets set in the NCCS.

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SERNA, 2010: National Strategy for Climate Change, Tegucigalpa, Honduras

SERNA-UNDP, 2010: Addressing climate change risks on water resources in Honduras: increased systemic resilience and reduced vulnerability of the urban poor project, Tegucigalpa, Honduras

5 Pakistan

Adaptation Fund profile

Project Title:	Reducing risks and vulnerabilities from glacier lake outburst floods in northern Pakistan
Project document:	www.adaptation-fund.org/project/1332-reducing-risks-and-vulnerabilities-glacier-lake-outburst-floods-northern-pakistan
Adaptation Fund Board approval date:	15 December 2010
Duration:	May 2011 to April 2015 (four years)
Budget:	US$7,600,000; AF contribution: US$3,600,000; US$2,643,224 disbursed by November 2012
Implementation:	United Nations Development Programme – Pakistan
Execution:	Ministry of Climate Change, Government of Pakistan
State of implementation:	The project was jointly signed by the government of Pakistan, the Adaptation Fund and the UNDP in May 2011 but there was a six-month delay in the start of the project. The inception workshop for the project was held in October 2011 and implementation of the project began in April 2012.
Case study prepared by:	LEAD Pakistan

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/pk.html

5.1 Country background

Climate change scenarios

While Pakistan is not a big contributor to climate change – it only produces about 30 million metric tons of carbon emissions annually, which represents 0.4% of global emissions – it is nevertheless negatively affected by climate change impacts such as unpredictable weather events, record-breaking cold and heat waves, droughts and floods. Pakistan lies on a steep incline, dropping sharply from almost 8,500 metres down to sea level within a distance of less than 3,000km.

The country has huge glacial reserves in the north, which melt and flow through the country, supplying more than 70% of the river flows. The glacial melt and the monsoon rains overlap in the three-month summer period, providing the irrigation water needed for the agriculture-based economy. Heavy rains raise the risk of flash floods in the rivers, increasing the vulnerability of densely populated communities situated on these flood plains. Climate change is now not only augmenting the melting of the glaciers in the north but also heightening the unpredictability of the monsoon. Maplecroft, a risk consultancy that ranks countries by their expected climate vulnerability over the next 30 years, now counts Pakistan in the 20 most climate-vulnerable countries worldwide.

Challenges

Annual flooding following monsoon rains has caused significant disruption to lives and livelihoods in Pakistan, particularly in the Indus Basin region. Pakistan's economy is heavily reliant on agriculture and this sector is particularly vulnerable. Drought is also a key issue. The Global Change Impact Studies Centre (GCISC) and Pakistan's Meteorological Department have predicted more floods in the coming years as the average temperature over the country is expected to rise in the range 1.3–1.5oC by 2020. Rainfall is projected to increase during the monsoon months (June–October), with a slight increase from September to November. Other seasons are projected to be drier than they are at present. Glaciers in the three mountain ranges – the Himalayas, the Karakorams and the Hindu Kush, which feed Pakistani rivers – are predicted to melt faster due to climate change, causing abnormal increase in river water outflow in the short term. Significant sea-level rise may affect coastal regions by 2080. Large areas of coastal and low-lying land are vulnerable in Pakistan, especially in Karachi and other parts of Sindh. Food insecurity is likely to occur (DfID, 2010).

Policies and institutions

In October 2008 a Presidential Task Force on Climate Change was formed by the government's Planning Commission to contribute to the formulation of a climate change policy that would assist the government.

The Task Force comprised experts from the water, energy and environment sectors and included officials from non-governmental organisations (NGOs) and also academics. The Task Force consulted federal and provincial agencies, organisations and other experts and published its recommendations in February 2010. In the report it pointed out the risks to the population and national economy arising from the expected increase in the frequency and intensity of extreme events like floods.

Then, in the summer of 2010 massive floods swept the country and the government hired a consultant, formerly the head of the Pakistan Meteorological Office, to finalise the draft of a national policy on climate change. The Task Force was resuscitated and renamed the Core Group on Climate Change to advise the government. The National Climate Change Policy took several months to finalise, as consultations were held with all the provinces. The policy was finally approved by the federal cabinet in September 2012 and will be implemented by the newly formed federal Ministry of Climate Change in the months to come. The policy identified the need for international support for both adaptation and mitigation.

Rina Saaed (LEAD Fellow) taking interviews of Community members in Drongagh Valley

Climate financing

In 2010, with the help of the United Nations Framework Convention on Climate Change (UNFCCC), Pakistan carried out a National Economic and Environmental Needs study to estimate its climate finance needs for both mitigation and adaptation. The study proposed the setting up of a National Climate Change Fund and stated that the country's financial needs for mitigation for a cleaner development future range from U$8–17 billion. The study also found that the resulting adaptation costs range from US$6–14 billion per year that Pakistan would, on average, need in the 2010–2050 time frame to cope with the effects of climate change. According to the Agricultural Development Bank and the World Bank, the floods that swept across Pakistan in the summer of 2010 alone caused an estimated US$9.7 billion in damage to infrastructure, farms, homes, etc. The estimate was presented in the Damage and Needs Assessment (DNA), a survey conducted nationwide by Asian Development Bank and the World Bank to assess the extent of the flood damage in October 2010. Reference?

5.2 Objectives of the project and state of implementation

People living in the Hindu Kush, Karakoram and Himalayan mountain ranges in northern Pakistan are already affected by climate-related hazards such as floods and landslides. However, warming trends in the region have been greater than the global average, and this is leading to the rapid melting of valley glaciers. According to the International Center for Integrated Mountain Development (ICIMOD), the country has a vast glacial area that covers about 15.000 square km comprising 5,000 glaciers. A large number of glacial lakes have formed in the north (2,500 have been recorded, representing 50% of the country's glaciers); 52 lakes have been categorised as 'potentially dangerous'. The breaching of the ice containing the glacier lakes, known as glacier lake outburst flood (GLOF), leads to a release of water and debris at large volumes, which causes huge devastation downstream.

The objective of this project is to reduce the risks of GLOFs in the regions of Gilgit-Baltistan and Chitral by enabling national, provincial and district authorities and local communities to prioritise and implement climate change adaptation measures. The project will develop the human and technical capacity of both public institutions and vulnerable local communities to understand and address immediate GLOF risks.

The project has four main components:

- strengthening institutions to prevent human and material losses from GLOF events;
- improving access by disaster management planners and policy-makers to research and information about GLOF risks;
- demonstrating community-based GLOF risk management in the two vulnerable mountain valleys of Gilgit and Chitral;
- the documentation and continued application of lessons learned.

A substantial amount of the project funding will be spent on interventions that directly benefit the target communities through their active involvement in all the project activities.

Project components and budget	
Project component 1: Policy recommendations and institutional strengthening to prevent climate change-induced GLOF events in northern Pakistan	US$100,000
Project component 2: Improving knowledge and information about GLOF risks in northern Pakistan	US$250,000
Project component 3: Demonstration of community-based GLOF risk management in vulnerable mountain valleys of northern Pakistan	US$2,790,000
Project component 4: Documentation, analysis and continued application of lessons learned	
Project execution cost	US$360,000
Total project cost (execution included)	US$3,600,000
UNDP management fee	US$306,000
Grant amount	US$3,906,000
Co-financing by government of Pakistan	US$3,500,000
Co-financing by United Nations Development Programme	US$500,000

Source: https://www.adaptation-fund.org/project/1332-reducing-risks-and-vulnerabilities-glacier-lake-outburst-floods-northern-pakistan

"It is still too early to assess the impact of the project, whose focus is on valley-based disaster risk reduction. [...] It is a scientific project and we want to learn the lessons and replicate them."

Khalil Ahmed, National Project Manager

The project was jointly approved by the government of Pakistan, the Adaptation Fund and the United Nations Development Programme (UNDP) in May 2011. The project period is from May 2011 to April 2015. The total project budget is US$7,600,000 with US$3,600,000 from the Adaptation Fund, US$500,000 from the UNDP and US$3,500,000 in-kind contribution from the government of Pakistan. The project was approved by Pakistan's Ministry of Environment just before it was devolved at the end of June 2011 due to the 18th Amendment to the Constitution of Pakistan.

There was then a delay in starting the project because of confusion over which federal government entity would 'own' the project. For around four months, the project was put on hold and then in November 2011, a project manager was hired and an inception workshop for the project was held in Gilgit. This was done under the 'Environment and Climate Change Wing' of the newly formed federal Ministry of National Disaster Management. The project was formally launched at this time and during the four-day workshop, inputs were made by NGOs and various stakeholders, leading to some changes in the design of the project. An inception report was finalised and shared, but there were further delays as the Ministry of National Disaster Management was transformed into the federal Ministry of Climate Change in April/May 2012. The project began its implementation phase soon after, in June 2012, after the hiring of field managers in Chitral and Gilgit. Recently, a brief update report has been published on the AF website[7].

5.3 Process from concept to implementation

This project was among the first to be given the green light by the Adaptation Fund at its meeting in Bonn in June 2010. The AFB decided to endorse the proposal, submitted by the UNDP, to reduce risks and vulnerabilities from GLOFs in the mountains of Pakistan. The emphasis of the initial project proposal had been on community-based early warning systems and a bio-engineering component for at least one demonstration site. Since the UNDP had already started their regional GLOF Risk Reduction Project in 2008, to address the risks posed by GLOFs in the Hindu Kush-Himalayan (HKH) region through strengthening non-structural and community-based approaches, they decided to send a proposal to the Adaptation Fund focusing on Pakistan.

In 2005, the Water Resources Research Institute of Pakistan had collaborated with ICIMOD to compile an inventory of all the glaciers and glacial lakes in the Indus Basin. They had discovered that 52 glacial lakes were in a potentially dangerous condition. These findings were included in the full project proposal approved by the AFB in December 2010 after additional information and clarifications were added. The two project sites – Bagrot Valley in Gilgit and Drongagh Valley in Chitral – were selected because of incidents of GLOFs in recent years (2010) and the high risks faced by the communities in both valleys. There was then a delay of several months before funds were received, but in May 2011 the Ministry of Environment signed onto the project. In June 2011 the Ministry was devolved. This proved to be a setback for the project, as work towards implementation only began in June 2012 after the Ministry of Climate Change was formed and took ownership of the project. The project has just three years to complete all its planned activities. Because the roads to both project sites are cut off by heavy snowfall during the winter, activities are limited to summer, late spring and autumn.

"This project can be very beneficial for those of us who live in the shadow of at least five glaciers in Bagrot Valley [....] The community here is very cooperative, but the expectations from this project are very high and we do need to see some physical structures on the ground that will be beneficial for us."

Shahid Ali, General Secretary of community-based Dubani Development Organisation in Bagrot Valley

5.4 Achievements and challenges

Since there have been delays in starting this project, it is too early to detail its achievements. As of August 2012, the project has set up its main office in Islamabad, with two satellite field offices in Gilgit and Chitral towns. Two field managers were hired in June 2012 and asked to speed up the activities. The field offices are located on the premises of the Pakistan Meteorology Department (PMD) in Gilgit and Chitral towns. The PMD has been outsourced under project component 3 – to reduce human and mate-

7 https://www.adaptation-fund.org/sites/default/files/Progress%20of%20the%20GLOF%20project.pdf

rial losses in vulnerable communities in northern areas of Pakistan through GLOF early warnings and other adaptation measu res.

In July the PMD set up one weather station in Drongagh Valley in Chitral and two weather stations in Bagrot Valley in Gilgit; they are staffed by trained volunteers from nearby villages where the literacy rate is high. The PMD has also asked the UNDP to help them import automatic weather stations and there is a plan to get at least three (one each for Drongagh and Bagrot and one in between). The PMD's next step is to assess the glacier lakes, which are hidden lakes underneath the glaciers in both the valleys, by taking a team of geologists and hydrologists to the two field sites. They plan to start the hazard mapping of the two valleys in September 2012.

So far, the project has made three open calls (Requests for Proposals) in various national newspapers for Disaster Risk Reduction (training communities, designing disaster risk plans at valley and district levels), Disaster Risk Management (designing adaptive infrastructure, feasibility study) and Communication Strategy (to be designed through individual consultants). The deadlines for these calls were in mid-September 2012.

Key challenges

The main problem appears to be that the project was designed with limited consultations with local communities and stakeholders in both valleys. However, now that the project has started its implementation phase, the UNDP intends to make a concerted effort to engage local communities through a well-designed communication strategy.

While the communities in both valleys consider themselves lucky to have been chosen for this international project and point out that they are at high risk from GLOF events that have already caused extensive damage to their fields, orchards, livestock, roads and bridges, they are concerned about what they regard as the purely research aspect of the project. They would like to see more tangible benefits from the project, for example adaptation structures like gabion walls and slope stabilisation. The UNDP is willing to implement these structures if they are well designed and help with adaptation.

So far, the PMD has not fully involved the community in their research work – although they have trained two student volunteers from the local communities in Chitral and Gilgit to record daily data for their weather stations. Both volunteers expect to be given paid jobs so there are expectations from the community that need to be addressed.

The project's objectives and the science behind it have not been communicated clearly enough in the orientation workshops held in Peshawar and Chitral towns, although of course the project is as yet in its early stages. The project managers only began their fieldwork two months ago and they themselves admit that more needs to be done to communicate the project's goals in the two valleys. The community's concerns are important and relevant because unless there is ownership of the project by the local community, its sustainability will be impacted.

In Nepal, two similar internationally funded GLOF projects have failed in Rolwaling Valley and Dudhhophi Valley because local communities felt no ownership. The expensive early warning systems that were installed (one a sophisticated siren system and the other a high-tech camera system) to warn local communities should the threat of a GLOF arise were not sustainable. According to ICIMOD, remote sensing specialists, once the project cycles ended the systems were left behind with no one to run them or maintain them.

5.5 Lessons learned and conclusions

It is too early for lessons to emerge, but what has become apparent in the early stages of this project is that local stakeholders (communities, NGOs and local government) must be involved in the project design from the very beginning so that they come on board at the earliest stage. This helps with ownership of the project and ensures its long-term sustainability. Also, northern Pakistan is unique because the communities here are highly organised and educated thanks to the extensive work done by the Aga Khan Development Network in the region.

In conclusion, this project has a high chance of success if the local communities are actively engaged and involved in every aspect of the project, from monitoring the glaciers, to designing low-tech early warning systems, to evolving disaster management plans at valley level.

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6. Interviews with Syed Mujtaba Hussain, Deputy Secretary Climate Change and Amjad Virk, head of SLMP in Islamabad.
7. Interview with Shahid Ali, General Secretary, Dubani Development Organisation, Gilgit.
8. Interview with Samjwal Ratna Bajracharya, Remote Sensing Specialist and Geologist at ICIMOD, Kathmandu, Nepal.

6 Senegal

Adaptation Fund profile

Project Title:	Adaptation to coastal erosion in vulnerable areas
Project document:	https://www.adaptation-fund.org/project/1327-adaptation-coastal-erosion-vulnerable-areas
Adaptation Fund Board approval date:	17 September 2010
Duration:	January 2011 to January 2013 (two years)
Budget:	US$8,619,000; US$7,869,000 disbursed by November 2012
Implementation:	Centre de Suivi Ecologique (CSE) (NIE)
Execution:	Directorate of Environment, NGO 'Green Senegal' and Association 'Dynamique Femme'
State of implementation:	Building up of coastal protection facilities; 4th semester
Case study prepared by:	ENDA TM, Senegal

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/sg.html

"Direct access is an unprecedented act of empowerment and ownership, by giving to vulnerable countries the chance to take their climate development resources and the implementation of programmes into their own hands."

Déthié S Ndiaye, contact person for Senegal NIE

6.1 Country background

Senegal, located in an inter-tropical area, is a flat country with an average altitude of 200 metres. It is bordered to the west by the Atlantic Ocean, to the north by Mauritania, to the east by Mali and the south by Guinea.

Like many Sahelian countries, Senegal has two seasons: the rainy season and the dry season. The rainy season, from June to October with a peak in August-September, is variable according to the latitude (less precipitation in the north compared to the south). This season corresponds to the monsoon period. The dry season, from November to June, is characterised by the absence of rain and by inland trade winds (sea breeze from the Azores anticyclone and the 'Harmattan from the Libyan anticyclone). Average rainfall is 742mm per year. This average, subject to strong annual variations, hides geographical disparities: precipitation ranges from 300mm per year in the north to 1,800mm per year in the south .

"It is important that the National Implementing Entity is an independent institution but at the same time good at collaborating with both governmental bodies and NGOs."

CSO stakeholder

Senegal is a Least Developed Country (LDC) with a per capita GDP estimated at US$1,600 in 2008. Its economy, essentially agricultural, has been under pressure from climate change, for example desertification and climate variability, which are compromising its sustainable development prospects. Cycles of drought over the last three decades have led to significant loss of vegetation and a drastic drop in groundwater levels, which have created a strong shift in isohyets towards the south. To that can be added coastal erosion, which affects strategic sectors of the Senegalese economy (fishing, agriculture and tourism). Large cities along the Atlantic coast (Dakar, Saint-Louis, Rufisque, Saly, Joal, etc) are concerned with the encroachment of the sea. For these areas, the rates of recession vary substantially between 1m and 2m per year.

6.2 Establishment of the NIE and realisation of the direct access

The Centre de Suivi Ecologique (CSE –Ecological Monitoring Centre) was nominated by the Supervision Authority on a proposal from the Designated National Authority (the Directorate of Environment) as the Senegalese candidate for accreditation as a National Implementing Entity (NIE) to the Adaptation Fund (AF).

The accreditation process lasted six months and comprised: a skills assessment on the fiduciary plan and project management; examination of how the institution

fights fraud and corruption; and a study on the institution's partnerships with government bodies and development partners.

At the same time as becoming an NIE, the CSE became the Implementing Entity responsible for receiving project proposals and submitting them after verifying their compliance with the priorities, policies and strategic direction of the country and the AF. It is responsible for monitoring and evaluating projects funded through the AF and ensures that projects comply with all the administrative, financial and technical requirements.

Accreditation of the CSE at the 9th AF Board meeting in March 2010 marked the first concrete realisation of the direct access approach in climate financing. Approval of the first projects followed shortly afterwards, marking the beginning of the implementation phase. The CSE supported the submission of a project on adaptation to coastal erosion in vulnerable areas, which aimed to reduce the negative effects of coastal erosion on tourism and fishing infrastructures, as well as on habitats and the environment.

Other initiatives developed by the CSE, as an NIE, include:

- establishing an office in charge of the project implementation;
- the organisation of upgrading sessions on procurement for all stakeholders;
- developing financial and technical report models, monitoring tools and a website (http://svr-web.cse.sn/fd/);
- sharing experiences with other countries in west Africa;
- interactions with civil society organisations (ENDA, Wetlands, CONGAD, WWF, RADI).

The project 'Adaptation to coastal erosion in vulnerable areas in Senegal' is in line with the national priorities as identified under Senegal's National Adaptation Programme of Action (NAPA). The NAPA identified and prioritised water resources, agriculture and coastal areas as most vulnerable to climate change. The adaptation options identified are: protection against soil salinity with anti-salt dykes; construction of coastal protection facilities; adoption of legislative and institutional measures; and capacity-building.

Coastal erosion is a constant threat to Senegal's coastal areas – more than 700km from Saint-Louis (north) to Casamance (south). This project is based on reports of emergencies, among which are several linked to climatic variation. Stakeholder consultations were undertaken during the design stage and inputs from local communities and associations were considered.

The project is implemented along the Petite Côte in Joal, Rufisque and Saly. The Petite Côte includes the country's largest tourist infrastructure, located in Saly, and the major national fishing port of Joal, which is surrounded by a rich mangrove ecosystem. This ecosystem is a potential source of energy (food, wood, etc) for the population and a home for many species of animals and fish. The mangrove also mitigates the rising levels of salinity that are harmful to agriculture.

The main activities of the project are:

the rehabilitation of the anti-salt dyke at Joal to boost rice production and reduce salinization of arable land;

the creation of fish-smoking facilities that will reduce pollution and the pressure on timber resources;

restoration of the infrastructure around the fishing port of Joal-Fadiouth;

awareness-raising and capacity-building for local people on adaptation techniques concerning climate change – in particular in relation to coastal erosion.

Execution of the project is undertaken by the Department of Environment and Classified Institutions under the authority of the Environment Ministry, the NGO Green Senegal, and Dynamique Femme (Joal's women's association). The Implementing Entities work closely with local communities and undertake tasks according to their respective capabilities.

Approval of the Senegalese project was a significant test for the AF direct access mechanism. The skills developed and experiences gathered by the NIE could serve as an institutional mechanism for decentralising the management of climate finance. However, for the viability of the project,

and to increase its ownership by local people, there is a need to strengthen the capacity of local communities, improve communication and create opportunities that benefit communities and the environment.

6.3 Objectives of the project and state of implementation

The project's main objectives are to:

implement actions to protect the coastal areas of Rufisque, Saly and Joal against erosion, in order to protect homes and the economic infrastructures threatened by the erosion – including fish-processing areas, fishing docks, tourism and cultural infrastructures, and to restore lost or threatened livelihood activities;

construct anti-salt dykes to reduce salinization of agricultural land used to grow rice in Joal;

assist local communities in the coastal area of Joal, especially women, to manage fish-processing areas along the coast;

conduct awareness-raising campaigns and training related to climate change and its adverse effects, inform and train people in coastal areas on climate change adaptation techniques and on good practices to avoid aggravation of negative climate change impacts;

develop and implement appropriate regulations for the environmental management of coastal areas.

To sum up, the project aims to help vulnerable communities adapt better to the adverse effects of climate change. It is imperative that local people are involved and understand the project to ensure its effective implementation and sustainability. Some mechanisms have been set up to guarantee community involvement and ensure that allocated funds contribute to strategies of poverty reduction – more specifically that the project benefits the most vulnerable people. Participation requires a project management mechanism that involves the government, local authorities, civil society, and technical and financial partners. The diversity of the key players ensures credibility through the management control (effectiveness, efficiency) and transparency of such a participatory approach.

"It is a godsend opportunity that will save us from the threats of encroachment of the sea on the coast and allow us to save our livelihoods..." **Project beneficiaries**

Project components and budget

Project component 1: Rufisque (including travel and workshops)	US$2,535,000
Project component 2: Saly (including travel and workshops)	US$2,730,000
Project component 3: Joal (including travel and workshops)	US$1.950,000
Project component 4: Regulations (including travel and workshops)	US$220,000
Project component 5: Information, sensitisation, training and communication (including travel and workshops)	US$415,000
Project component 6: Follow-up, evaluation, monitoring (implies payment of the organisation responsible for follow-up)	US$350,000
Total project cost (execution included)	US$8,200,000
Centre di Suivi Ecologique Project cycle management fee	US$419,000
Grant amount	US$8,619,000

Source: https://www.adaptation-fund.org/project/1327-adaptation-coastal-erosion-vulnerable-areas

Local people as well as local authorities endorsed the project as being relevant to their concerns. People are expecting a lot from the project – particularly in terms of job creation for people, capacity to manage the facilities, and sustainability. Accordingly, capacity-building of stakeholders has been seen as necessary for success and has been addressed through seminars, exchange visits, etc.

However, for sustainability of the project, it would be very important to strengthen local capacity in adaptation techniques. Civil society organisations implementing the project need to be trained and/or backed up in the development of social marketing strategies, social communication plans and advocacy. The two civil society Implementing Entities operating on the ground in Rufisque, Saly and Joal have fulfilled their potential on awareness-raising among all stakeholders in coastal areas – including women, residents, fishermen and fishmongers.

To sustain and strengthen the project's institutional management on the ground, local steering committees have been set up in addition to the district management committees. But for some stakeholders, the project must reinforce a fight against poverty and climate change. This should include measures to support the population in conversion activities that would improve their incomes and livelihoods. Thus, acceptability of the project involves listening more to local people, using local labour and involving local development committees.

After three semesters of implementation, important progress has been made including the creation of protection infrastructures in Saly and Rufisque and the anti-salt dyke in Joal-Fadiouth.

"It is important that the National Implementing Entity is an independent institution but at the same time good at collaborating with both governmental bodies and NGOs."
CSO stakeholder

6.4 Process from concept to implementation

Coastal protection was the main concern of the project's conception. This provided an opportunity to incorporate the other NAPA priorities. It covers both urban (Rufisque and Saly) and rural (Joal) areas and prioritises sectors such as fishing, agriculture and tourism. But whatever the sector, project activities must favour the most vulnerable segments of the population: women, small farmers, small-scale fishermen faced with reduced stocks of fish; and it must address the destruction of homes and infrastructure, the salinization of lands, the reduction of the agricultural lands and the degradation of the mangrove ecosystem.

The populations affected by coastal erosion, particularly women in Joal, have long pleaded – eg during World Environment Days and World Desertification Days – for the rehabilitation of the anti-salt dyke, which would allow for retention of rainwater upstream for rice growing and downstream prevent salinization. It is important to underline that in this area agriculture is suffering a reduction in availability arable land because of salinization and intense urbanisation. This clearly affects agricultural productivity and, consequently, food security and the way of life in local communities. This plea was heard, and one of the project activities has been the rehabilitation of the Joal-Fadiouth anti-salt dyke, which has enabled the revival of rice growing and mitigated soil salinization.

Previous to these advocacy actions, studies on vulnerability and adaptation to climate change had been conducted at national level since 1999 as part of the implementation of the UNFCCC. The studies addressed coastal areas, agriculture, water resources, fisheries and tourism and provided detailed knowledge on the climatic, environmental and economic impact of possible climate changes (Directorate of Environment 1999). The study on coastal areas produced strategies for adaptation, with particular attention paid to the accelerating rise in sea level in the Dakar region and Saloum Delta. These studies contributed to developing the NAPA, which identified priority activities to address Senegal's urgent and immediate needs with regard to climate change adaptation, including adaptation to coastal erosion in vulnerable areas.

6.5 Achievements and challenges

The project 'Adaptation to coastal erosion in vulnerable areas in Senegal' began in January 2011; it was the first project ever funded by the Adaptation Fund. According to the original schedule, it should be completed in January 2013. Planned activities have revolved mostly around coastal protection facilities, reclamation of saline land, construction of fishing dock and processing areas, sanitation, regulations, information, awareness-raising and knowledge-sharing. This section describes some of the project's achievements and challenges.

Coastal protection infrastructures: Construction began in Rufisque-East. In Saly, technical studies were conducted and a new invitation to tender is about to be revived. In Joal-Fadiouth, rehabilitation of the anti-salt dyke is 80% complete. In addition, the processing area of Saly-Coulang has been rehabilitated, with a drying area built on approximately 878m^2 and solar electrification of the shed and processing area. In Joal a prototype oven was produced and validated. It will help to improve the smoking of fish with a reduction of pressure on biomass.

The **national steering committee** is mainly concerned with implementing agencies. It must include representatives of civil society to ensure implementation, monitoring and evaluation, and sustainability. Some existing platforms (CNCR, CONGAD, ENDA, etc) could accompany the implementation of the project. There are also local development committees and local consultation frameworks, especially in Joal, that can contribute to increased participation by local stakeholders in the implementation, monitoring, and exchange of information and experience.

A **network of coastal stakeholders** (fishermen, women fish processors, neighbourhood safety committees, ecological monitoring committees, local authorities) was set up and an action plan developed. It consists mainly of direct beneficiaries of the project.

Communication, information and public awareness activities have been undertaken, including: 104 radio programmes on adaptation issues (eg local management, sanitation in fisheries, coastal erosion, etc); hundreds of events (eg home visits, social mobilisation, focus groups, regattas, traditional wrestling sessions, etc) on issues such as coastal erosion, waste management, sanitation and hygiene, the fight against sand mining, etc; development of a website (http://svr-web.cse.sn/fd); a draft communication strategy written; and a film is being made about the project experience.

"Salinity affected paddy fields thus for over a decade, we can no longer practise rice growing. We hope that the rehabilitation of the dyke will allow us to revive this activity."
Anna Ndiaye, Dynamique Femme, Joal-Fadiouth

With the decentralisation of environmental management, regional committees on climate change (COMREC) have been established and the need for capacity-building identified. Linked to that, more than 500 people were trained (members of women's associations, local authorities, officials, and members of neighbourhood committees or socio-professional organisations, and community leaders).

Concerning regulation on the coastal area, the coastal Act has passed the Supreme Court; it remains to be adopted by the Council of Ministers and approved by vote in Parliament. One of the project's challenges is the risk of seawater circumventing the Joal anti-salt dyke.

The project must end in January 2013 but implementation may be delayed due to difficulties in the application of technical solutions, which should be appropriate, effective and not too expensive. That is the case for the Saly protection infrastructure, which is planned to be completed in March 2013.

Senegal had a change of political regime in March 2012 and a new National Assembly elected in July 2012. Some administrative procedures of policy-makers could cause delays in the execution of certain infrastructures, particularly in Saly, and in the vote on the Coastal Act.

6.6 Lessons learned and conclusions

The accreditation of the NIE creates opportunities for better governance of climate finance and for strengthening the institutional capacity of developing countries. Better still, it realises the principle of direct access. This was used to provide a direct link between vulnerable communities and the Adaptation Fund, as the project submitted emanated from community concerns. To some extent, the project 'Adaptation to coastal erosion in vulnerable areas of Senegal' is a catalyst stimulating local development, whose pillars are fishing, tourism and agriculture.

Project activities must, however, be integrated into local planning so that adaptation measures in beneficiary localities will not affect adversely non-beneficiary communities. This happened, for example, with the anti-salt dyke in Joal, which diverted seawater to another locality not protected by the dyke.

With more integration into local structures and planning, the project could promote greater interaction between local authorities and vulnerable communities and therefore facilitate its viability and sustainability.

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7 Nicaragua

Adaptation Fund profile

Project Title:	Reduction of risks and vulnerability based on flooding and droughts in the Estero Real River watershed
Project document:	www.adaptation-fund.org/project/1331-reduction-risks-and-vulnerability-based-flooding-and-droughts-estero-real-river-watersh
Adaptation Fund Board approval date:	15 December 2010
Duration:	February 2011 – March 2015 (four years)
Budget:	US$5,500,950; US$3,777,310 disbursed by November 2012
Implementation:	United Nations Development Program (UNDP)
Execution:	Ministry of the Environment and Natural Resources (MARENA)
State of implementation:	In progress (1st year and a half)
Case study prepared by:	Centro Humboldt, Nicaragua

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/nu.html

7.1 Country background

Central American socioeconomic vulnerabilities are exacerbated by its location on a narrow geo-climatic isthmus that bridges two ocean systems, the Pacific and the Atlantic. The region is severely affected by droughts, hurricanes, cyclones and El Niño-Southern Oscillation.

Since weather-dependent factors contribute significantly to economic activities, such as agriculture, the United Nations Economic Commission for Latin America and the Caribbean has indicated that climate change will increasingly have a negative impact on economic development in the region. It is estimated that by 2100 around 30% to 50% of Central America GDP will be affected by climate change-related events (CEPAL 2010).

According to the 2012 Global Climate Risk Index prepared by Germanwatch, Nicaragua is among the ten countries worldwide (4th place) most affected by losses associated with the adverse impacts of climate change in the period 1990-2010 (Harmeling 2012).

Also, following the criteria of the World Risk Report (2011) of Bündnis Entwicklung Hilft, a German coalition of development and emergency aid organisations, Nicaragua ranked number 11 in the Global Risk Index, with 27.69% for exposure to natural disasters, 56.94% for vulnerability, 41.23% susceptibility, 83% lack of coping skills, and 46.59% adaptive skills shortages (Birkmann et al 2011).

A recent study developed by Centro Humboldt (Campos and López Baltodano 2012) noted that, currently, 94 municipalities (out of 153) present medium and high climatic risk levels, which implies that almost 45% of Nicaragua's current population is affected by climate-related events. The assessment of the study is that, by 2050, this proportion will increase considerably to 87% of the projected population.

In terms of financial flows, this same study revealed that out of the total amount invested in the country between 2005 and 2011, in 135 projects associated with climate change, only 8% were for adaptation purposes, and more than 90% refer to mitigation actions.

So, even though Nicaragua has formally approved a National Strategy for Environment and Climate Change (ENACC) and is part of the Regional Strategy on Climate Change for Central America (ERCC), various studies point out that adaptation to climate change is not yet an effective political priority, despite the abundant empirical evidence of economic damage, and material and human losses, that extreme weather events and climate variability generate in the country. For this matter, this first Adaptation Fund project represents a relevant experience towards integrating climate change adaptation to national processes, local risk management and planning.

Preparation for waterworks in Las Mercedes, El Sauce, Nicaragua

7.2 Objectives of the project and state of implementation

This project is funded by the Adaptation Fund through UNDP and under the implementation of the Ministry of Natural Resources and Environment (MARENA). Its main purpose is to reduce the risks of, and vulnerability to, floods and droughts (linked to climate change) in eight micro-watersheds of the Villanueva River (1,290km2) in the Estero Real Watershed (3,838km2), covering 24 communities.

The three municipalities incorporated in the project (El Sauce, Achuapa and Villanueva) are located in the Sub-Watershed of the Villanueva River. These municipalities exhibit high levels of extreme rural poverty, reduced productive capacity, high deforestation and agrochemical abuse. They are located in the driest region of the country (dry corridor), and during El Niño annual precipitation declines, on average, by 19% (270mm) to 35% (516mm). During La Niña, river levels can significantly rise, especially in October when average flow rates may exceed averages by more than 500%.

At the Adaptation Fund Board's 18th meeting (June 2012), it was decided to transfer the second tranches of funds for Nicaragua (US$1,513,440). This means the country has received $3,777,310 for the project.

Project components and budget	
Project component 1: Investment in infrastructure for storing and using rain and surface water in eight micro-watersheds in the upper watershed of the Estero Real River	US$2,477,215
Project component 2: Introduction of climate resilient agro-ecological practices to make effective use of available water	US$1,302,785
Project component 3: Institutional development and capacity-building in micro-watersheds, municipalities and participating national institutions	US$400,000
Project component 4: Ongoing monitoring and analysis of climatic conditions and changes in land use, water flows and soil quality	US$440,000
Programme execution cost	US$450,000
Total project/programme cost (= project components + execution cost)	US$5,070,000
Implementing fee	US$430,950
Grant amount	US$5,500,950

Source: https://www.adaptation-fund.org/project/1331-reduction-risks-and-vulnerability-based-flooding-and-droughts-estero-real-river-watersh

7.3 Process from concept to implementation

After the project was agreed between the national government and the United Nations Development Programme (UNDP), MARENA developed an initial workshop regarding the technical, social, operational and financial issues related to the project; this took place in both Managua and El Sauce on June 2011. According to the workshop notes, the workshop were attended by UNDP officials, national and local governments, technical experts, management unit members and some local beneficiaries.

Not many changes were made to the initial project proposal in this workshop, but the work plans and budgets for 2011 and 2012 have been modified as the project start was delayed. In this process a Project Management Unit and three decision levels for the administrative structure (Direction, Executive and Operational) were set up and are currently working. There has been relatively good progress in the implementation of project component 1, particularly in relation to the construction of a communal irrigation system in Las Mercedes (El Sauce, León) for 65 families (see pictures below), which is almost complete. The other irrigation structure in Salales, which will benefit at least 25 families, is yet to be completed. According to a technical member of the Management Unit, this work has not commenced, but they are in the process of hiring contractors, which leads us to believe there has been a delay.

In relation to the 880 structures for collection and storage of rainwater, UNDP reported that locations have been identified and placement should start soon. The relevant technical member explained they have started the construction of more than 207 structures in Achuapa, and will then move on to El Sauce and Villanueva. However, we did not see any structures on our field trip.

In relation to project component 2, there seems to be some progress with the development of 280 agro-ecological transformation plans on family farms, but another 725 plans still need to be developed. The purpose of these plans is that beneficiary communities gradually implement them and develop a climatically resilient management process to increase water retention, soil conservation and food security. We were not able to verify the contents of the agro-ecological plans nor the progress of the capacity-building process as the MARENA national authorities had not authorised release of that information for this report.

Regarding project component 4, according to UNDP there has been some progress with the hydrological study of the lower sub-watershed of Villanueva River; it should be completed in the first semester of 2013. The study is being developed with support from the Nicaraguan Institute for Territorial Studies (INETER) with the purpose of delivering information on the areas where measures must be taken to reduce floods. The other activities of project component 4 do not seem to have moved on.

We could not find much progress on the issues related to institutional development and capacity-building for municipalities and participating institutions. We know the AF project overlaps with the development of national adaptation plans in these three municipalities, but we are not sure how clearly they are linked nor about the pace of progress on proposition and validation of normative instruments to operate a Watershed Committee for Villanueva River.

7.4 Achievements and challenges

The first achievement for Nicaragua is to actually have an Adaptation Fund project on the ground – our only experience with the Fund. We also appreciate the gender considerations in the implementation of the project and identification of beneficiaries; it has been decided that at least US$50,000 in each micro-watershed must directly benefit women and their families.

The focus on a micro-watershed has been successful. We believe it allows for the integration of natural resources and community practices in a holistic way (integral management). We are, therefore, looking forward to the establishment of the Watershed Committee mentioned in the project document as an entity that could give coherence to adaptation efforts in these communities.

We welcome the recognition that hydrological studies of the micro-watersheds are important in establishing flood susceptibility maps as compulsory for planning process. There must also be a participative monitoring process and electronic information stalls to prepare maps of changes in land use and water flows as set out in the project. This is a good way of involving communities in the gathering of relevant information to monitor the impacts of climate change.

There has been good coordination between national government and the three local governments involved (which are from the same political party), and the UNDP. This is absolutely essential for a good implementation process. It was confirmed that satellite offices in each of the counties will prepare the database indicated in the project proposal, although we are not sure if they are currently involved. We interviewed some people in El Sauce and found they were unaware of the project and its relation to climate change adaptation.

It is essential that information related to project is made available. It was almost impossible to have a serious exchange of information with either MARENA or the Project Management Unit. It was clear there was no political will to provide information for this report, despite our efforts. This could indicate conflict related to execution of the project.

Irrigation system in Las Mercedes (El Sauce, León, Nicaragua).

We found a weak understanding of what 'adaptation' means for the project and what actions need to be implemented in this regard. Some local people, workers and technical staff for the water structures were unaware of the link between the project and climate change adaptation and of the complete set of activities established as part of that link. This presents a major challenge.

There might be uncertainty among authorities about how to manage the project's adaptation aims. That may explain why the major efforts so far have focused on construction of the water structures, and not on the capacity-building and institutional development component.

We are concerned with the way the agro-ecological transformation plans are being developed. A local MARENA representative explained they were not clearly focused on climate change adaptation. We have not been able to assess them because none of them were made available for this report, since "national approval from the highest authorities of the Ministry of Environment was needed to deliver this information". Therefore, it will be a challenge to develop the capacity-building required on the ground to implement proper adaptation actions.

A local delegate from MARENA pointed out certain deficiencies in the design elements of the structures for rainwater capture and storage. It is possible these may not be properly related to climate change. There is also a need for INETER to determine which areas in the territory are for water re-charge, to avoid the ambiguity of re-forestation in unloading areas.

Although Municipal Technical Committees were formed in the three municipalities, it will be a major challenge to integrate other relevant actors in the area (such as local NGOs) and to spread information about the project.

7.5 Lessons learned and conclusions

The AF project was developed as a continuation of an earlier project – the Sustainable Management of the Earth. This gave some continuity to the efforts made, although understanding climate change impacts and adaptation actions clearly represents a new experience with many related difficulties.

According to information contained in public documents from MARENA, this project will promote specific activities that go beyond traditional approaches – including the adoption of more climate-resilient varieties, changing planting cycles to account for climate variability during the rainy season, and promoting facilities to feed livestock during droughts.

The aims are very high. It is important to remember that this project is meant to validate a national adaptation scheme involving investment in water supplies, long-term farm planning and capacity-building in local communities, local governments and national government agencies. In this regard, it is not helpful to exclude the participation of civil society representatives nor to limit the exchange of information related to a public project.

We believe the government is not doing its job with regard to public information access. As we consulted climate change experts in the country, we found very little public awareness of the project, despite it being one of the first projects linked to adaptation in Nicaragua. This will undermine the benefits of the project and any learning from its successes and failures. It is absolutely essential that the government establishes a National Climate Change Commission, with the broad participation of government authorities and civil society, where these issues can be discussed in an open manner, promoting cross-learning and respect for different opinions.

It was interesting to find that the local governments of Achuapa and El Sauce were developing local adaptation plans in collaboration with MARENA. They are among the first municipalities to be involved in such an initiative. It is not clear whether this is considered to be part of the AF project, but certainly this link should be developed to give coherence to the projects already unfolding on the ground. This sort of project is useful in developing community awareness of the negative consequences of climate change and of human activity in the environment. For example, Chabelo, from Salale, reflected that, "as producers, we haven't taken care of our water sources". Projects such as this have a responsibility to publicise the need for adaptation and, most importantly, to provide guidance on adaptation methods.

We invite the authorities to make use of other actors' knowledge in order to ensure the full achievement of the project's expected outcomes. This will clearly affect the chances of our country receiving funding for other projects and, crucially, to be recognised as a country that is highly vulnerable to the impacts of climate change.

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8 Jamaica

Adaptation Fund profile

Project Title:	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve food security
Project document:	https://www.adaptation-fund.org/sites/default/files/Jam%20Proposal%20for%20posting.pdf
Adaptation Fund Board approval date:	28 June 2012
Duration:	August 2012 to December 2015 (3.5 years)
Budget:	US$9,965,000; $3,451,897 disbursed by November 2012
Implementation:	Planning Institute of Jamaica (NIE)
Execution:	National Environment and Planning Agency, National Works Agency, Ministry of Agriculture and Fisheries, Ministry of Tourism
Focus:	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve food security
State of implementation:	Started in November 2012
Case study prepared by:	PANOS Caribbean, Jamaica

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/jm.html

8.1 Country background

Jamaica is a Caribbean Small Island Developing State with a land area of approximately 11,000km2 and territorial waters of approximately 16,000km2. Many upland areas are susceptible to soil erosion and landslides, while in low-land areas flooding is the predominant hazard. Jamaica has a tropical maritime climate characterised by year-round warm and humid conditions. On average, Jamaica receives 1,980mm of rainfall each year. The rainfall pattern is highly influenced by the island's topography, which has created a range of microclimates.

In 2009, Jamaica was ranked 34 by Germanwatch in its Global Risk Index, which ranks countries according to how badly they have been affected by climate-related loss events such as hurricanes and floods. Jamaica was one of six Caribbean islands identified as a climate hot spot.

Against this background, the Jamaican government has drafted a climate change policy that is being reviewed in consultation with civil society before going to Parliament. The policy was initially drafted by the National Meteorological Office of Jamaica, which is the focal point of the United Nations Framework Convention on Climate Change (UNFCCC).

The island is also implementing adaptation-related projects and programmes funded by three major initiatives:

- the United Nations Environment Programme, European Union Climate Change Adaptation and Disaster Risk Reduction Project;
- the Pilot Programme for Climate Resilience;
- the Adaptation Fund.

The key Implementing Entity for these projects is the Planning Institute of Jamaica in collaboration with other state agencies such as the National Environment and Planning Agency, the Ministry of Agriculture and Fisheries, Ministry of Land, Water and Climate Change, Ministry of Tourism, the Water Resources Authority and the Forestry Department.

Civil society groups such as Panos Caribbean and the Association of Development Agencies also sit on a thematic working group that monitors and provides guidance on the implementation of these projects. This thematic group is an implementing mechanism for Jamaica's 2030 long-term strategic plan. Multilateral entities such as the United Nations Development Programme (UNDP) also sit on this working group.

8.2 Process from NIE accreditation to proposal development

Jamaica was initially informed of the Adaptation Fund (AF) through its Board member, Jeffrey Spooner. The direct access modality being pioneered by the Adaptation Fund Board seemed an interesting opportunity. The thematic working group for the Vision 2030 Plan met to review and discuss suitable entities for the role of National Implementing Entity (NIE). A decision was taken that the Planning Institute of Jamaica (PIOJ) was the best agency and so the PIOJ began the process.

According to the PIOJ, the accreditation process was a rigorous one that ensured they had all the institutional capacity required to manage funds in a transparent manner. In September 2010, they were accredited, making Jamaica the first Caribbean country to secure accreditation with the AF. After the accreditation was granted it was another nine months before Jamaica submitted its initial concept. There was an extensive period of consultations between government entities and representatives from civil society to review and prioritise the island's adaptation needs. After the concept was submitted, the Adaptation Fund Board (AFB) provided feedback and worked with the PIOJ to ensure that it met the required standard. The concept was approved, along with a grant of US$30,000 to develop the full proposal.

Project components and budget

Project component 1: Protect Negril's beaches from coastal erosion caused by intense storms and sea-level rise by building breakwater structures	US$5,480,780
Project component 2: Enhancing the climate resilience of the agricultural sector by improving water and land management practices through water storage, soil conservation, microdams, small-scale irrigation, and other initiatives	US$2,503,720
Project component 3: Improving institutional and local level capacity for coastal and agricultural adaptation and awareness raising for behaviour modification through training, the design of replicable technical standards, and spreading information on effective adaptation measures	US$785,500
Programme execution cost	US$415,000
Total project/programme cost	US$9,185,000
Project formulation grant	US$30,000
Grant amount	US$9,965,000

Source: https://www.adaptation-fund.org/project/enhancing-resilience-agricultural-sector-and-coastal-areas-protect-livelihoods-and-improve-f

A consultant was engaged to carry out an island-wide consultation with key stakeholders. Panos Caribbean was able to work with the PIOJ by sharing civil society feedback and key information on stakeholder consultation provided by the Adaptation Fund NGO Network. Based on the consultations, the original concept was revised taking into consideration comments from communities and other vulnerable groups.

The full proposal was submitted and approved in June 2012, at the 18th meeting of the AFB. Since then, a management team has been recruited to implement the project, which was officially launched in early November 2012.

8.3 Lessons learned and the road ahead

The accreditation and project development process has been a learning curve for all involved. It has helped to strengthen collaboration between civil society and government, based on AF requirements for inclusion of the most vulnerable and civil society engagement.

The process has helped with the implementation of Jamaica's long-term plan for sustainable development, as the project falls under certain key strategic objectives set out in the plan. The process has helped to raise the level of accountability between the government and its stakeholders. Civil society has also been more involved than in some other projects to date.

One key lesson learned was the benefit of a broader government consultation process. It would be more common for consultations to take place between key government agencies that would participate in the project, but for the Adaptation Fund a systematic effort was made by the Planning Institute to ensure that there was more civil society participation.

Based on the partnerships that have already evolved in the process, the structure is in place to ensure civil society participation and involvement of vulnerable groups and communities, as well as accountable and transparent project implementation, monitoring and evaluation.

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9 Benin

Adaptation Fund profile

Project Title:	Adaptation of Cotonou Lagoon ecosystems and human communities to sea level rise and extreme events impacts (concept note endorsed)
Project document:	https://www.adaptation-fund.org/sites/default/files/Adaptation%20of%20the%20Cotonou%20Lagoon%20ecosystems%20%28for%20web%29.pdf
Originally planned Duration:	October 2012 to October 2016 (four years)
Proposed Budget:	US$8,788,000
Implementation:	National Environment Facility (Fonds National d´ Environment) (National Implementing Entity)
Project Objective	Implement appropriate actions for protecting the Cotonou Lagoon shores
State of implementation:	project concept endorsed, state of revision of proposal
Case study prepared by:	OFEDI, Benin

Map: https://www.cia.gov/library/publications/the-world-factbook/geos/bn.html

9.1 Country background

Benin, in west Africa, was formerly the Republic of Dahomey, but was renamed the Republic of Benin in 1975. Benin lies between 6°30′ and 12°30′ north latitude and 1o and 3°40′ east longitude. It is bounded on the north by Niger, on the south by the Atlantic Ocean, on the east Nigeria and the west Togo. Benin covers an area of approximately 110,000 square kilometres, with a population projection of approximately 9,598,787 in 2012. The capital is Porto-Novo, with the seat of government in Cotonou. Its major cities are: Parakou, Bohicon Djougou Lokossa, Abomey, Kandi, Comè, Malanville Savè, Pobè, Kétou and Natitingou.

Half of Benin's population is under 20 years of age. The majority are settled in the southern part of the country, open to the Atlantic Ocean. The population is made up of 40 ethnicities, the largest groups being: Fon: 66%; Yoruba: 9%; Adja, Fulani: 4%; Baribas: 10%; and Fulani, Sombas: 5%.

Key facts

Urban population: 15% of total

Density: 48 inhabitants per km^2

Population growth rate: 2.88 (% per year 1950 - 2030)

Infant mortality rate per 1,000 births: 90 (1995)

Life expectancy (men): 51.3 (1995)

Life expectancy (women): 56.2 (1995)

Illiteracy rate (men): 63% (UNESCO 1994)

Illiteracy rate (women): 74.2% (UNESCO 1994)

Benin's climate is hot and humid and varies from equatorial in the south to tropical, but increasingly dry, in the north. In the south, there are two rainy seasons: March to July, and September to November, with average annual rainfall between 1,200mm in Porto-Novo down to 820mm in Grand-Popo. Monthly average temperature ranges from 20°C to 34°C.

Moving north, the climate becomes more Sahelian, characterised by a long dry season, high temperatures and one rainy season from May to September. There are variations in temperatures, which become higher further north through savannah and plateau toward the Sahel.

There are two distinct climate zones:

South Zone: equatorial climate, high humidity, dry season from November to March and mid-July to mid-September, with a rainy season from April to mid-July and from mid-September to October;

North Zone: tropical, dry season from November to May, rainy season from June to September.

Vulnerability and adaptation studies and assessments undertaken as part of the National Adaptation Programme of Action (NAPA) in 2008, as well as two National Communications in 2001 and 2011 submitted to the United Nations Framework Convention on Climate Change (UNFCCC), identified that the coastal zone, water resources, agriculture and forestry are the sectors most vulnerable to climate change. The impacts of climate change are exacerbated by the low level of resilience and high vulnerability to shocks, which significantly reduce community capacity to adapt when natural resources are affected, thereby impairing their livelihoods, food security and well-being.

9.2 NIE accreditation process

After the AF call for proposals in 2010, Benin submitted a request for accreditation of its National Implementing Entity (NIE) in 2011. The accreditation process was as follows:

appointment of a Designated National Authority by the Ministry of Environment through an official letter addressed by the Ministry for the Environment to the Secretariat of the Adaptation Fund (AF);

identification of a suitable institution to be accredited as the NIE. This was achieved through a national consultation in a working session within the Ministry of Environment, Housing and Urbanisation (MEHU), which selected the National Fund for the Environment (FNE) to act as the NIE;

completion of the accreditation application form by the FNE;

review of the application form by the Accreditation Panel and recommendation of the Panel to the Adaptation Fund Board (AFB);

field visit to Benin by representatives of the Accreditation Panel in June 2011 to assess the ability of the FNE to meet AF fiduciary standards. During the visit, several consultations were undertaken with key stakeholders and additional documents provided by the FNE were studied;

subsequent to field visit, in July 2011, the Accreditation Panel recommended to the AF Board that FNE be accredited as Benin's NIE.

9.3 Lessons learned and future steps

After the accreditation of its NIE, Benin submitted its project concept note to the Secretariat of the Adaptation Fund in January 2012. The project focuses on adaptation of Cotonou Lagoon ecosystems and human communities to sea-level rise and extreme weather event impacts. The project concept was considered by the AFB in March 2012 at its 17th meeting. The AFB gave the following comments to the FNE as Implementing Entity; the comments serve as an 'official' benchmark for improvements to be made:

"**(i)** The targeted private sector stakeholders should be consulted and proof of their engagement in the process should be provided;

(ii) The linkage between the five expected results, or "outcomes", of the project should be clarified further;

(iii) The project's "objective", as currently stated, is too broad and could rather be defined as the "goal" of the project. For the sake of clarity the fully developed project document should present a main project objective that would reflect that linkage, in addition to providing five specific objectives;

(iv) The fully-developed project document should provide more accurate data on the expected economic benefits and the targeted gender groups that would benefit from the project;

(v) The final concrete adaptation options chosen for this project should be provided (if a combination of "hard" and "soft" infrastructures is chosen) and the costs adjusted accordingly;

(vi) The fully-developed project document should provide a table which listed the relevant past and existing initiatives, and explained the expected synergies and complementarities with the proposed project or the best practices that will be replicated through it; and

(vii) The activities described in the "knowledge management" section should be reflected in the specific outputs or outcomes of the project and therefore be described in the "components and financing" and the "results framework" tables of the fully-developed project document."

(Adaptation Fund 2012)

"This project should be an opportunity for us to improve our living conditions and fishing"

David HOUNGUE, President of the National Union of continental Fishermen

Consultation with the fisherman group of Djidjè

Participants of the regional AF NGO Network workshop held in Benin, April 2012

On 29 and 30 April 2012 in Cotonou, the AF NGO Network held a regional meeting of non-governmental organisations on the Adaptation Fund. At this regional workshop, 20 west African civil society representatives and delegates from Benin's Ministry of Environment met to discuss the direct approach offered by the AF as well as ways of ensuring the participation of the most vulnerable people in the decision-making process of projects that target their regions. Noteworthy, was the participation of council representatives from two fishing communities. In the discussion, both in the meeting and during field visits to the project's area, it became clear that the fishermen had not been involved or consulted in the development of the project concept note.

The issues raised by the communities mainly relate to the lack of communication and information-sharing about the project. The fishermen expressed their concerns about the decline of fishing yields as a result of the construction of the dam and lagoon. They fear that if the new infrastructure planned in the project does not take these negative impacts into account, their livelihoods will be impaired. Accordingly, attendees at the regional workshop urged the Department of Environment and the FNE to consider the concerns and needs of the fishermen and other vulnerable groups when finalising the project proposal, with a view to integrating them into the proposal.

An ad hoc committee, composed mainly of civil society organisations, has been set up to follow-up on implementation of these recommendations. Some recommendations relate to establishing a framework for dialogue with stakeholders, undertaking studies on global impacts (social, economic and environmental) and updates on the project, and to ensuring that actions proposed by the project will actually improve the people's living conditions. It was also decided to shape a platform through which vulnerable communities and the authorities could exchange ideas on the best way to design the project.

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Officials interviewed (in addition to interviews at the stakeholder workshop)
Modeste Toboula, Technical Director of the FNE
David Hounguê, Chair of UNAPECAB

10 South Africa

Adaptation Fund profile

Project Title:	not yet identified
Implementation:	South African Biodiversity Institute (SANBI) (National Implementing Entity)
State of implementation:	Stakeholder consultation and development of proposal
Case study prepared by:	Indigo Development and Change

"You need a strong and flexible institution to take it [the role of an implementing entity] on. It is a multi-sectoral task."

Professor Guy Midgley, South African NIE

(Photo: B Koelle)

10.1 Country background

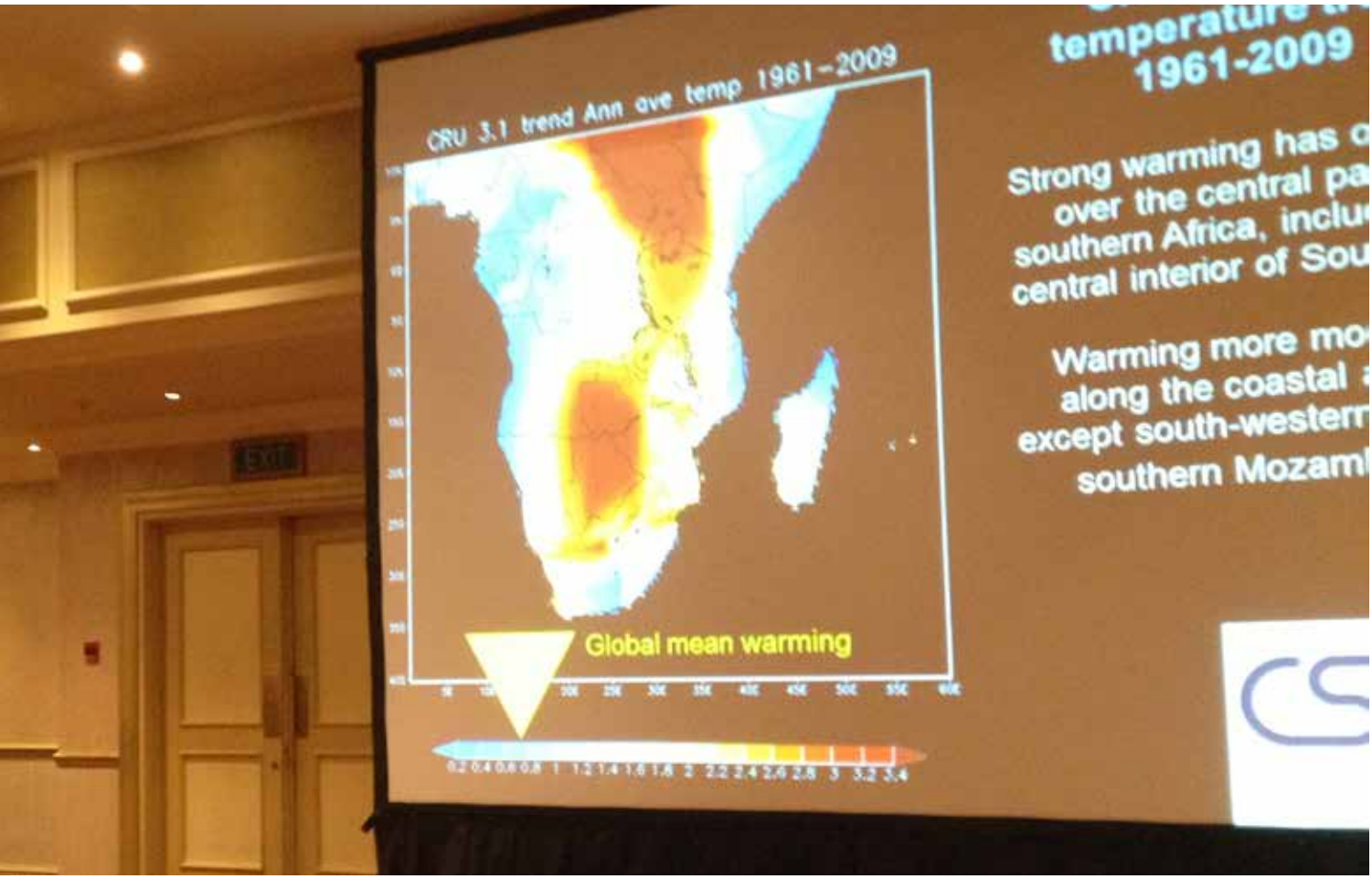
South Africa is a country of great topographic diversity, where strong rainfall and temperature gradients lead to varying local and regional climate conditions. The tropical conditions of the northeast coast stand in strong contrast to the arid conditions of the west coast, and while the west and southwest parts of the country experience winter rainfall, the eastern regions and the interior experience summer rainfall.

Climate change projections suggest a pattern of increasing summer rainfall with greater variability in the east, and decreasing winter rainfall in the west (Department of Environmental Affairs (DEA) 2011). Temperatures are projected to rise across the country, but most strongly in the country's interior (DEA 2011).

The most important national coordinating actor in the South African climate change adaptation landscape is the Department of Environmental Affairs (DEA). The Department acts as the focal point of the United Nations Framework Convention on Climate Change (UNFCCC), and developed the National Climate Change Response White Paper (NCCRWP) (2011), which presents the South African government's vision for an effective climate change response. The South African National Biodiver sity Institute (SANBI) is a public entity under the DEA, providing it with key support in research and implementation.

SANBI played an important part in the production of the Second National Communication,1 a key requirement of the UNFCCC process related to the implementation of the convention to the Conference of the Parties (COP).

Although it does not deal exclusively with climate change aspects, the National Planning Commission (NCP) should be noted as another important actor in the South African adaptation landscape, through its shaping of South Africa's development pathway. The NCP has developed a National Development Plan (NDP) (2011) aimed at steering a new overall course for the country's development. While emphasising the need for a low-carbon economy, the Plan also touches on the issue of climate change adaptation, focusing on the need to strengthen the nation's general resilience. This corresponds to the need for South African adaptation to be aligned with, and to address, the general challenges the country is facing. Eighteen years after the end of apartheid, South Africa has made significant development gains, but remains a divided country where poverty and unemployment are endemic in both rural and urban settings, and where spatial patterns tend to exclude the poor from benefiting from the fruits of any gains.



Professor Guy Midgley from the NIE Steering Committee relating relevant climate models to inform the stakeholder consultation in Johannesburg.

"We need to focus on projects that build the foundation to move forward."

Stakeholder at the NIE

10.2 Process from NIE accreditation to proposal development

The process of identifying a candidate for the role of National Implementing Entity (NIE), conducted by the DEA, took at least a year. Having assessed the institutional landscape in South Africa, theDEA concluded that SANBI stood out as the entity possessing the capacity and track record necessary for an NIE, despite its biodiversity-based mandate, partly because of its history of both science and policy engagement on climate change.

The application thus required a letter of support from the Minister of Environmental Affairs, Bomo Edna Molewa, that specifically mandated SANBI with this additional multi-sectoral role, and SANBI began the accreditation process in January 2011.

By featuring both the necessary contextual information and the application forms required, the Adaptation Fund website (http://www.adaptation-fund.org/) was a key resource in putting the application together. The main work of the application lies in collecting the numerous supporting documents that are required; namely, those that relate to the need to prove the applicant has the necessary institutional capacity and the ability to manage funds in a transparent manner. This means the completed application must prove that the accreditation applicant possesses sound financial management structures and procedures, as well as a robust governance structure. The ability to provide financial information, including annual reports and financial statements, as well as documentation on sound internal policies, is therefore essential. After submitting their application, SANBI was contacted several times by the Adaptation Fund, which requested further and more in-depth information and documentation relating to financial management and internal institutional policies.

[9] South Africa's Initial National Communication came out in 2000, and was followed by the Second National Communication in 2011. The development of a Third National Communication is currently in the initial planning stage.

After some back and forth between SANBI and the Adaptation Fund, with numerous documents being identified and sent to the Fund, SANBI finally received its accreditation in September 2011, making it one of the first five NIEs to be accredited by the Fund.

While the AF is strict in terms of requirements and documentation, SANBI's experience was that their contact person at the Fund, the person specifically dealing with SANBI's application process, was helpful and truly supportive in the accreditation process.

Following accreditation, SANBI allocated staff designated to the NIE work, after which the proposal development phase could be initiated. SANBI's priorities as NIE will be informed by the NCCRWP, thereby ensuring alignment of Adaptation Fund projects and South Africa's national policy. Ecosystem-based Adaptation (EbA), recognised in the NCCRWP as a key response available to the country to adapt to climate change and a methodology which is furthermore aligned with SANBI's area of expertise, has therefore become the suggested focus of the project proposals.

The South African Stakeholder meeting agreed t o focus on marginalized groups in South Africa – including social and ecological priorities (Photo: B Koelle)

"In developing project proposals, an important question to ask is, 'What is adaptation and what is actually just business as usual?'"

Professor Guy Midgley, contact person for the South African NIE

Guiding principles for NIE applicants

An implementing entity must be **transparent**, have **sound internal policies** in place, and be able to document these.

In applying for accreditation, provide as **detailed financial information** as possible, including financial statements, budgets and balance sheets.

If the entity applying for accreditation does not itself have a strong experience and capacity for accounting, a solution may be for it to **cooperate with a well known accountant consultancy**.

10.3 Lessons learned and the road ahead

It appears that a strong track record, and specifically SANBI's ability to prove its institutional experience of managing large projects and funds, was key to receiving accreditation. SANBI has broad experience with running large projects, including the Global Environment Facility and World Bank projects, and several of those involved in the accreditation at SANBI feel that without these projects on its books, SANBI would have found it much more difficult to achieve accreditation.

With respect to the initial phases of activity, it is important to note that SANBI has approached the national focal point for a limited amount of seed funding to allow it to support core staff prior to the NIE becoming financially self-supporting through accessing a project management fee on successful projects. The seed funding will be especially important in further stakeholder consultations prior to the identification of eligible projects, their development, and ultimate submission to the Adaptation Fund Board.

The fact that the DEA has been developing a climate change policy, the NCCRWP, has also been important for SANBI. It meant that SANBI could ensure that NIE priorities were aligned with national priorities, which have been identified through a transparent national consultation process. By addressing NCCRWP priorities, SANBI ensures that its focus areas are relatively unconten-

tious, given that the NCCRWP was developed through a lengthy process of stakeholder engagement.

SANBI has further initiated stakeholder engagement specifically focused on the Adaptation Fund. On 15 October 2012, a stakeholder workshop was convened to create an understanding of Adaptation Fund requirements and to share insights and discuss criteria for the strategy for Adaptation Fund investments in South Africa. Following presentations from SANBI and partners, the workshop featured discussions and group work around potential project principles and desired outcomes. The workshop was attended by a wide range of stakeholders, including representatives from academia, civil society, government and business. The stakeholders voiced some concern about SANBI's suggestion to focus on the EbA approach, arguing that it is not applicable in all settings and should thus not be the only approach considered for Adaptation Fund proposals. Stakeholders further argued that project proposals submitted to the Adaptation Fund must relate to each other, and that they are strategic in the national context. There was also a strong desire towards developing projects that deliver tangible benefits, particularly for the country's most vulnerable people and ecosystems.

In terms of the next steps, SANBI plans to publish a call for concepts, from which some will be chosen, taking into account the priorities highlighted by stakeholders at the October workshop. These concepts will then be developed into proposals with SANBI's support.

> *"In developing project proposals, an important question to ask is, 'What is adaptation and what is actually just business as usual?'"*
>
> **Prof. Guy Midgley, contact person for the South African NIE**

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Officials interviewed

Professor Guy Midgley, contact person for the NIE – South Africa
Dr Mandy Barnett, Director of the NIE – South Africa
Gigi Laidler, Secretariat of the NIE- South Africa

Supporting the most vulnerable to climate change.