

ADAPTATION PROJECTS: SCREENING EXERCISE CHECKLIST

What are suitable adaptation projects?

When stakeholders in the public or private sector identify adaptation projects or want to complement existing projects with adaptation measures it is crucial to select projects that will make sustainable, long-term contributions to enhance adaptive capacity and resilience to climate change. Detailed analyses of specific projects are therefore required in order to prevent maladaptation, which might further increase vulnerability to climate change.

Due to the wide reaching impacts of climate change, adaptation measures can be manifold. They can address human, economic and physical vulnerabilities which range from policy incentives to infrastructure design. Adaptation projects in the land use sector for example may include the following:

- **Protecting and strengthening agriculture and forestry systems.** In agriculture, climate change threatens the suitability and productivity of crops and livestock. Further research into and deployment of drought-resistant crops could increase food security and prevent malnutrition and starvation caused by climate change impacts. In forestry, climate change jeopardizes timber and non-timber production. Concrete projects in this area often aim to combat soil erosion and desertification through the promotion of agro-forestry and the prevention of forest destruction. In these cases adaptation focuses on enhancing natural regeneration of degraded forest lands, supporting reforestation, and promoting agro-forestry and the adoption of sustainable forest harvest and management approaches.
- **Protecting natural resources and ecosystems.** The identification, restoration, protection and linking of conservation areas plays an important role in the protection of biodiversity. In many cases, the maintenance of ecosystem services can lead to enhanced resilience of ecosystems to climatic changes.
- **Protecting coastal zones.** Coastal zones are vulnerable to loss of land from sea-level rises and increased storm activity. With productive capacities of large coastal cities in jeopardy, there is a demand for measures to address sea-level rise, salinisation of farmlands, and storm occurrence.

How can a suitable adaptation project be identified?

Identifying, designing and implementing an adaptation measure should involve the careful analysis of the present situation and conditions in order to prevent doing more harm than good or duplicating or even cancelling out other measures. The checklist below shows the basic screening process for the identification of an adaptation project.

In the identification process, the conditions surrounding the project need to be identified and assessed. A number of specific questions should be considered in order to provide a comprehensive picture of the adaptation measure. Answers to the questions mentioned below should help to identify whether or not a suitable adaptation project is in place.

Identifying an adaptation project

In order to identify a suitable adaptation project, the following criteria should be assessed:

- Which kind of activity does the project entail and what approach does it follow?
- How does it enhance adaptive capacity, and how realistic is its implementation?
- How can the success of the project be determined?
- Who are the project's stakeholders?
- How does the policy environment look like?

Which kind of activity does the project entail and what approach does it follow?-Adaptation to climate change can be implemented in different ways. Depending on the project activity, different approaches to implementation may therefore be chosen. For example, a project may focus on land management strategies to respond to disasters or it may focus on the plantation of trees to protect against certain vulnerabilities. A project could also help to assess in more detail a climate risk, for example to forestry or agricultural production. As a first step, a "typical" adaptation activity out of the categories described above should be identified and the approach to implementation should be clear and transparent. This is linked to the second step:

How does the project enhance adaptive capacity, and how realistic is its implementation? - It is crucial to the realization of the project that the definition of the project objective is clear - how is resilience enhanced?, or how is the current level of resilience at least maintained? - and realistic in the face of any given constraints: can the project be financed (more on this below)? In what timeframe can the project be completed? Is there a buy in and support from the stakeholders? The aim of the project as well as its positive and negative impacts should be clearly defined.

How can the success and impact of the project be determined?- In order to prove the impact the project actually had, it is important to establish a baseline scenario that describes what would have happened if the project did not exist (the establishment of the baseline scenario can at this stage be qualitative rather than quantitative). This baseline scenario provides information about the existing vulnerability, the climate risk, the existing policy and adaptive capacity. From this information it can be extrapolated what would happen without the adaptation project measure, and therefore which impact the project activity can make. The project situation is compared to the baseline situation in order to determine and, if possible, quantify the achievements of the project, typically a reduction in vulnerability to climate change and / or an increase in adaptive capacity.

Through this approach it is also possible to prove that the project is additional, i.e. that the impacts would not have been achieved under a baseline scenario. It is important to provide evidence that a project activity has really been developed for the purpose of enhancing adaptive capacity and to avoid simply re-labeling existing projects in order to attract additional funding through the adaptation funds. Since the funds dedicated to adaptation are limited it is crucial that they are used efficiently to finance projects that otherwise would not happen.

Who are the project stakeholders? - Developing and implementing an adaptation measure should draw interest from a number of stakeholders. It is crucial not only to identify these stakeholders but also to engage in communication with them: they are likely to make the most valuable contribution on

what the priorities for an adaptation are, how it should be developed and how it can be implemented. Stakeholders for projects on the local (e.g. farmers affected by a vulnerability), regional (e.g. farmer's co-operatives or business groups), national (e.g. Ministry of Agriculture, Environment) and global level (e.g. UN organizations) should be considered. A selection of stakeholders could provide input to help understand the most relevant and pressing issues.

It is important at this stage to get a buy-in by stakeholders concerned not only with the UNFCCC but also the UNCCD. Stakeholder engagement is not only critical to obtaining many helpful services throughout the project development and design process, but it is also required in order to qualify for many types of funding. Positive effects of broad stakeholder engagement include the following:

- Access to a larger knowledge base for project design.
- Opportunity to team up with existing successful projects and programs.
- Contact with potential funding sources.

How does the policy environment look like? - Depending on the adaptation measure, be it a sector-wide policy or a specific agricultural project for a certain region, different political decision-making processes will be required to make the implementation happen. At the same time, it is also crucial to ensure that these processes are aligned with host country policy on adaptation. To ensure the project will be supported from the wider political community the appropriate decision-makers will have to be identified at the local, regional and national levels. In working with these individuals it needs to be determined if and how the adaptation can be integrated into existing frameworks for the long-run. In this, it is important to consider the work done on existing adaptation plans such as the NAPAs or National Communications to the UNFCCC and the UNCCD. NAPAs for example specify priority regions or activities for national adaptation, and projects within these priority categories are very likely to gain political or even financial support by public institutions. The backing of a public institution or the government can also help to access adaptation funding at international level.

Questions to ask here are:

- Does the country have a National Action Plan for Adaptation in place? What are the priority regions and sectors specified by the NAPA? Does my project fall into any of these priorities?
- What is the political backing of my project activity, can I get political or technical support to obtain funding?

How can a suitable project apply for financing from one of the adaptation funds?

Once a suitable project has been identified, project developers should think carefully about how to finance the project's further planning and implementation. Of particular interest is the option of seeking finance from one of the UNFCCC adaptation funds. These are outlined below, as well as the project and country eligibility criteria and the procedures involved.

Once you have identified an eligible adaptation activity, what would you do to access funding?
- Check the available adaptation funds and their eligibility criteria to see whether your project could apply for funding.

- ✓ ***Least Developed Countries Fund (LDCF)***

All least developed countries are eligible to apply for funding from the LDCF. The procedural process for applying begins with the preparation of a National Adaptation Plan of Action (NAPA). The document outlines the priority areas of need for a country to meet their adaptive goals; project proposals should follow from the areas discussed therein. After the NAPA is finalized and made public, a country may begin the cycle of design, development and implementation of individual projects. Following the implementation, monitoring and evaluation occur throughout the project lifespan to assess the effectiveness of the activities. The Fund is distinctive because it incorporates several innovative elements that are designed specifically to ease the process for least-developed countries. These elements include a sliding scale tool to simplify cost calculations, the option of full-cost financing for projects, no requirement to show global environmental benefits, an expedited project cycle, and a rolling application and review process.

✓ ***Special Climate Change Fund (SCCF)***

All Non-Annex 1 countries are eligible to apply for funding through the SCCF. Project proposals must follow the adaptation guidelines set out by the country under national communications or NAPAs. Project design, development and implementation of the project should utilize the templates and guidelines made available through the GEF. Like the LDCF, the SCCF contains elements to allow for the process to be more streamlined. These elements include the use of additional cost to determine the level of funding, the provision of a sliding scale option to calculate costs and a rolling application and review process. An Implementing (e.g. UNDP, UNEP) or Executing Agency (e.g. FAO, IFAD) of the GEF should be contacted in order to facilitate the project proposal process and the access to funds.

✓ ***Adaptation Fund***

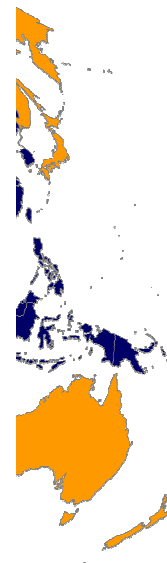
Requirements for project proposals to the Adaptation Fund are yet to be set up. Projects will have to follow the national sustainable development strategies, NAPAs, poverty reduction strategies and National Communications. Developing country Parties to the Kyoto Protocol that are “particularly vulnerable to the adverse effects of climate change” are eligible to apply for funding, likely including AOSIS and other developing countries with fragile ecosystems. The fund will finance “concrete adaptation projects and programmes that are country driven and are based on needs, views and priorities” (UNFCCC) of the requesting Party. Finally, the proposals will likely be evaluated on a rolling, year-round basis, with “short and efficient project development and approval cycles and expedited processing of eligible activities.” (UNFCCC)

Annex 1: List of Least Developed Countries¹

Afghanistan #	Gambia	Rwanda #
Angola	Guinea	Samoa *
Bangladesh	Guinea-Bissau *	São Tomé and Príncipe *
Benin	Haiti *	Senegal
Bhutan #	Kiribati *	Sierra Leone
Burkina Faso #	Lao People's Democratic Republic #	Solomon Islands *
Burundi #	Lesotho #	Somalia
Cambodia	Liberia	Sudan
Cape Verde *	Madagascar	Timor-Lesté *
Central African Republic #	Malawi #	Togo
Chad #	Maldives *	Tuvalu *
Comoros *	Mali #	Uganda #
Democratic Republic of the Congo	Mauritania	United Republic of Tanzania
Djibouti	Mozambique	Vanuatu *
Equatorial Guinea	Myanmar	Yemen
Eritrea	Nepal #	Zambia #
Ethiopia #	Niger #	

* Also SIDS
Also LLDCs

Annex 2: Countries party to the Kyoto Protocol



¹ From: <http://www.un.org/special-rep/ohrls/ldc/list.htm>

Annex 3: Countries that have published a NAPA (as of March 2009)²

Number: alphabetical order	Country	Date NAPA posted
1	Bangladesh	November 2005
2	Benin	January 2008
3	Bhutan	May 2006
4	Burkina Faso	December 2007
5	Burundi	February 2007
6	Cambodia	March 2007
7	Cape Verde	December 2007
8	Central African Republic	June 2008
9	Comoros	November 2006
10	Democratic Republic of Congo	September 2006
11	Djibouti	October 2006
12	Eritrea	May 2007
13	Ethiopia	June 2008
14	Gambia	January 2008
15	Guinea	July 2007
16	Guinea-Bissau	February 2008
17	Haïti	December 2006
18	Kiribati	January 2007
19	Lesotho	June 2007
20	Liberia	July 2007
21	Madagascar	December 2006

² From:
http://unfccc.int/cooperation_support/least_developed_countries_portal/submitted_napas/items/4585.php

Climate Change Adaptation Projects: Group Exercise

22	Malawi	March 2006
23	Maldives	March 2008
24	Mali	December 2007
25	Mauritania	November 2004
26	Mozambique	July 2008
27	Niger	July 2006
28	Rwanda	May 2007
29	Samoa	December 2005
30	Sao Tome and Principe	November 2007
31	Senegal	November 2006
32	Sierre Leone	June 2008
33	Solomon Islands	December 2008
34	Sudan	June 2007
35	Tanzania	September 2007
36	Tuvalu	May 2007
37	Uganda	December 2007
38	Vanuatu	December 2007
39	Zambia	October 2007