



ADAPTATION FUND

## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Adaptation Fund Climate Innovation Accelerator

**Country/Region:** Multi Regional  
**Project Title:** AFCIA-UNEP II in Support of Innovation for Adaptation  
**Thematic Focal Area:** Cross Sectoral  
**Implementing Entity:** United Nations Environment Programme  
**Executing Entities:** Climate Technology Centre and Network  
**AF Project ID:** AF00000361  
**IE Project ID:** Requested Financing from Adaptation Fund (US Dollars): 10,000,000  
**Reviewer and contact person:** Marcus Johannesson, Naoki Uozawa Co-reviewer(s): Alyssa Gomes  
**IE Contact Person:**

<p>Technical Summary</p>	<p>The project “Adaptation Fund Climate Innovation Accelerator II” aims to support countries to test, scale up and leverage innovative, transformative, and locally led adaptation technologies across the technology cycle and anchor these into National Systems of Innovation. This will be done through the three components below:</p> <p><u>Component 1:</u> Innovative, transformative, and locally led climate adaptation technologies are identified, assessed, and tested in developing countries (USD 6,160,000).</p> <p><u>Component 2:</u> Innovative, transformative, and locally led climate adaptation technologies are scaled up (USD 1,000,000).</p> <p><u>Component 3:</u> Innovative, transformative, and locally led adaptation technologies are leveraged through the establishment of enabling environments (NSI, finance and knowledge) (USD 1,021,819).</p> <p><u>Requested financing overview:</u></p> <p>Project/Programme Execution Cost: USD 909,091</p>
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	<p>Total Project/Programme Cost: USD 9,090,910  Implementing Fee: USD 909,090  Financing Requested: USD 10,000,000</p> <p>The initial technical review found that the proposal, while strong, raised several issues, such as compliance with the Environmental and Social Policy, lack of a gender assessment, M&amp;E budget, disbursement schedule, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>The second technical review finds that improvements can be seen on many of the previously raised issues. Some unresolved issues still remain mainly related to that the full proposal not being yet fully compliant with requirements related to AF's Environmental and Social Policy and Gender Policy as given in the review's CRs and CARs.</p> <p>The third technical review finds that all the pending CRs and CARs have been resolved.</p>
Date:	01/23/2024

Review Criteria	Questions	1 <sup>st</sup> Round Comments	2 <sup>nd</sup> Round Comments	3 <sup>rd</sup> Round Comments
Country Eligibility	1. Does the proposal include a mechanism that will ensure that the participating countries are party to the Paris Agreement	<p><b>Yes.</b></p> <p><b>CAR1:</b> Please consider adjusting the title for the programme, to avoid any confusion with other AFCIA programmes (a suggestion, for example: AFCIA-UNEP II?)</p>	<p><b>CAR1: Not Cleared.</b>  We understand that the title has been changed to "Delivery services for the implementation of the Special Financing Window in Support of Innovation for Adaptation (AFCIA) AFCIA-UNEP/CTCN II". Could you please confirm if this is the title of this proposed project ?</p>	<p><b>CAR1: Cleared.</b>  The title of the programmes has changed to "AFCIA-UNEP II in Support of Innovation for Adaptation"</p>

	nt and/or the Kyoto Protocol?			
	2. Does the proposal describe how the IE will involve the participation of developing countries particularly vulnerable to the adverse effects of climate change? Does it specify countries, a region, or two or more regions?	<p><b>Yes.</b></p> <p>The programme and its innovative solutions will focus on and promote resilience by helping recipient countries make political climate-informed analysis, and access climate policies and strategies. Here, three risk dimensions will be considered, namely climate stressors or shocks in terms of extreme weather, societal exposures as a consequences of climate change, and vulnerability and coping capacity.</p> <p>Page 5 mentions that “The AFCIA programme will be implemented globally in non-annex I3 - developing countries, with the only condition that the countries have a Nationally Designated Entity (NDE-focal point of the CTCN) in place.”</p> <p>Para 57 states that "AFCIA II should simplify the process and be aligned with</p>	<p><b>CR1: Cleared.</b></p> <p>The revised proposal outlines the process for countries to nominate an NDE-focal point. Once a country has officially nominated a NDE to the UNFCCC and the CTCN, it immediately becomes eligible to engage with the programme. (para.30)</p>	<p>--</p>

		<p>CTCN mandate to work with all non-annex I countries as soon as NDE is in place", (p21).</p> <p><b>CR1:</b> Please briefly clarify the process for countries to nominate an NDE-focal point if one does not exist in a country, in the case that they might be interested in participating in the programme (but do not have an NDE-focal point yet). Please confirm if any such country would immediately become eligible to engage with the programme.</p>		
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	<p>1. Does the proposal describe how it will source innovation small grant proposals, and screen them for the potential to support concrete adaptation actions to assist the participating countries in addressing the adverse effects of climate change and build in climate resilience?</p>	<p><b>Not Clear.</b></p> <p>Adaptation Fund- UN Environment Special Financing Window in Support of Innovation for Adaptation Phase I has crossed mid-point. One of the lessons described in the project performance report is that despite efforts to source widely from UNEP's networks, including bilateral meetings and in-person sessions with the NDEs interested for in the 3 regions to support the preparation and the submission of high-quality proposals, "it appeared that only a very limited number of proposals were responding to all AFCIA selection criteria among the eligible applications of the third call for proposal drastically limiting CTCN's choice in the selection process."</p> <p><b>CR3:</b> Please clarify what elements will be put in place to enhance the implementation of phase II to not only broaden the reach of the programme but</p>	<p><b>CR3: Cleared.</b> CTCN will organize webinars targeting non-conventional stakeholders under output 3.3 (para. 63). In addition, CTCN will have bilateral meetings with proponents when requested or needed to improve the quality of the applications (para. 62).</p> <p><b>CR4: Cleared</b> The revised proposal includes recommendations from AFCIA I's MTR and responses to these (para.56, 100, and 131, and table 3, 8, 9, and 10).</p> <p><b>CR5: Cleared.</b> The proposal clarifies that the private sector will be incentivized through the NSI to become a key actor of change in support to creation, adoption and dissemination of adaptation technologies which is a key objective of AFCIA II. (para 119 and 120).</p> <p><b>CR6: Cleared</b> The proposal clarifies the need to engage all relevant stakeholders including policy and decision makers early on at the Response Plan stage. (para. 71 for output 1.1, para. 82 for output 1.2, para. 85-86</p>	<p>--</p>
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	<p>also to receive higher quality proposals.</p> <p><b>CR4:</b> Please include a section in the justification section that generally shares the lessons from the 3 calls completed under phase I and how phase II will build on those lessons.</p> <p>Does the grantee often happen to be a private sector actor based on AFCIA I and CTCN's experience? If this is the case, perhaps the proposal's Theory of Change should consider to a higher degree the business enabling environment for the private sector when it comes to drivers and barriers.</p> <p><b>CR5:</b> Please clarify the programme's view on the private sector as a potential key agent of change in reaching the objectives of AFCIA II, and how it would influence the architecture of the NSIs.</p> <p><b>CR6:</b> Please clarify the need to seek interest and commitment among</p>	<p>for output 1.3, para. 107 for output 2.1, and para.129 for output 3.2).</p> <p><b>CR7: Cleared.</b> The proposal explains that NSI will be used to influence the decision making of the countries on a systemic level and develop enabling environment tools. (para. 22, 113 and 120)</p> <p><b>CR8: Cleared.</b> The response plan template requests a preliminary assessment of the existing national innovation system (para. 85 and 119).</p> <p><b>CR9: Cleared.</b> The proposal clarifies that AFCIA I project will be eligible to request additional funding under AFCIA II (para.106 and 124).</p> <p><b>CR10: Cleared.</b> The proposal clarifies that the budget of each technical assistance will be managed by a CTCN network partner selected through a competitive bidding process (para. 31).</p>	
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	<p>decision and policy makers already at the stage of where the Response Plans are being developed.</p> <p>The various projects will have to identify the most feasible way forward in promoting transformative change in unique national systems so that technology development and transfer can take place to the benefit of local and vulnerable contexts.</p> <p><b>CR7:</b> Please clarify how adaptive the operations of AFCIA II will be while developing NSIs, as to align with the unique circumstances that will be encountered in various countries by various projects.</p> <p>AFCIA II is also aiming at influencing on a systemic level through NSIs and enabling environment tools.</p> <p><b>CR8:</b> Please clarify how the assessment of the regulatory and policy related issues would materialize within the</p>		
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	<p>projects. And would it be worth mentioning these aspects as drivers and barriers in the Theory of Change? And would this potentially also need to be considered when it comes to the business enabling environment?</p> <p>Under Component 2, 10 out of 40 tested in Component 1 will receive support. On the other hand, the proposal took a few cases from AFCIA I that might be supported under Component 2 of AFCIA II.</p> <p><b>CR9:</b> Please clarify the scope of the support to scale up. Does it include innovators from AFCIA I as well?</p> <p>The allocated maximum budget of USD 80,000 for each selected micro-grant is intended for enhancing NSI (Output 3.1). The activities to achieve this are detailed on page 36.</p> <p><b>CR10:</b> Please elaborate on the coordination and arrangement responsibility</p>		
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		<p>for each activity, particularly among selected micro-grants, CTCN, and other entities. Who will utilize this budget for what?</p>		
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	<p>2. Does the program contribute meaningfully to the Expected Results under the Innovation Pillar:</p> <p>I. New innovations and risk-taking encouraged and accelerated</p> <p>ii. Successful innovations replicated and scaled up</p> <p>iii. Access and capacities enhanced for</p>	<p><b>Yes.</b></p> <p>The proposal has an elaborate Theory of Change including a set of barriers that is perceived to prohibit development and diffusion of technology for adaptation purposes.</p> <p><b>CR11:</b> In addition to this, please include a concise problem statement: the current situation, the desired future, and the gap between the two that AFCIA is aimed at resolving/bridging (the climate adaptation innovation gap).</p>	<p><b>CR 11: Cleared</b></p> <p>A revised theory of change is presented in Annex E.</p>	<p>--</p>
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	<p>designing and implementing innovation. iv. Evidence base generated and shared.</p>			
	<p>3. Does the proposal describe how it will screen innovation small grant proposals for their potential to provide economic, social, and environmental benefits, particularly to vulnerabl</p>	<p><b>Not Clear.</b></p> <p>Throughout the three-tiered screening process projects will be ranked based on their innovativeness, and their potential to provide economic, social, and environmental benefits and increase the resilience of the hosted countries to the effect of climate change. In Annex B, the proposal clarifies UNEP's ESSF alignment with AF's 15 principles, and the SRIF expresses its alignment with AF's 15 principles.</p> <p><b>CR12:</b> Please clarify how the programme will identify and manage risks using the</p>	<p><b>CR12: Not Cleared.</b></p> <p>The proposal mentions on page 92, that “to support the Environmental and Social Safeguards Framework, UNEP has adopted several related policies which will be applied to the Aggregator mechanism”.</p> <p>Concerning alignment between ESP/AF and SRIF/UNEP, please note that it is necessary to demonstrate compliance with the Adaptation Fund's ESP and GP. Annex J “Screening checklist against Guiding Principles” is not using the AF ESP Screening Checklist.</p> <p>Please, explain how AF ESP Principles will be applied while identifying USPs. For guidance, please have a look at the PPR</p>	<p><b>CR12: Cleared.</b></p> <p>The proposal includes AF ESP Screening Checklist (Table 13). A risk impact assessment (including estimation on risk level and categorization is undertaken under Annex J in Table 28 and 29), and an ESMP in Table 30 is outlining governance and mitigation measures for the identified risks. Monitoring indicators of identified risks are provided under Table 31. The risk concerning "Gender Equity and Women's Empowerment" is managed by the proposed ESP structures.</p>

	<p>e communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy of the Fund?</p>	<p>AF ESP policy and demonstrate alignment with AF's 15 principles during implementation. A SRIF will be applied for each selected project to identify and manage potential risks. Medium risk projects of the small grants proposals will be assigned a management plan to mitigate and monitor the risk. Please note that the proposal must review compliance with AF's 15 ESP principles through its environmental and management system (ESMS).</p> <p>Already at the proposal stage a tentative assessment of the 15 principles should be undertaken in a screening template adopted to AF's 15 principles, as to communicate the risk level of the anticipated projects and what would be the method for mitigating, monitoring and managing these.</p> <p><b>CAR2:</b> Please fill out the</p>	<p>guidance for USPs to ensure that the monitoring framework needed is in place: <a href="https://www.adaptation-fund.org/wp-content/uploads/2020/03/Guidance-Document-to-Complete-PPR-2.pdf">https://www.adaptation-fund.org/wp-content/uploads/2020/03/Guidance-Document-to-Complete-PPR-2.pdf</a></p> <p><b>CAR2: Cleared.</b> Please refer to CR12 above.</p>	
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		table on page 58.		
	4. Does the project engage, empower and/or benefit the most vulnerable communities and social groups?	<p><b>Yes.</b></p> <p>The proposal describes the outreach strategy that will be developed in Output1,1, leveraging UNEP and CTCN's networks. All CTCN projects are locally led in nature as the CTCN operates on a demand-driven basis (projects are implemented upon request of a national entity) and requires partnering with local institutions for the implementation of activities to create ownership, promote knowledge transfer, and ensure effective stakeholder engagement on the ground.</p>	-	
	5. Does the project advance gender equality and the empowerment of women and girls?	<p><b>Not clear.</b></p> <p>There is a strong section on page 45, however some elements are missing, and full gender analysis is not presented. A gender assessment is a mandatory requirement at the fully developed proposal stage.</p>	<p><b>CAR3: Not Cleared.</b></p> <p>Information regarding a mechanism to apply the SRIF at proposal stage to assess possible risks of the technical assistance on gender, youth, and vulnerable communities (para. 161) is noted. It is well noted that during the implementation, a more detailed gender assessment will be developed and monitored yearly</p>	<p><b>CAR3: Cleared.</b></p> <p>See CR12 and CR13.</p> <p><b>CR13: Cleared.</b></p> <p>An initial gender assessment at programme level has been developed and integrated under Annex K, as well as a consolidated overview of</p>

		<p><b>CAR3:</b> Please include a gender assessment that pertains to the design of a mechanism intended to promote gender equality. Should the information that can be provided at this stage be incomplete, please describe the plan for ensuring compliance with the Gender Policy during the implementation of the project.</p> <p>Based on AFCIA I experience, what gender gaps have been identified and what is the approach of the programme in addressing gender gaps? This should also consider the development of the innovation ecosystem that fosters women as entrepreneurs.</p> <p><b>CR13:</b> Please clarify what gender considerations have gone into the design of the proposal. For example, clarify if the proposal been designed in consultation with a gender specialist to ensure that that programme is accessible to and aims to</p>	<p>through the CTCN (para. 80). The proposal outlines the technical assistances to gender mainstreaming activities (para. 162 and 188).</p> <p>Furthermore, this second phase of the program is developed in response to the MTR's draft recommendation on gender (Table 10).</p> <p>However, please note the comment under CR12. Furthermore, it does not constitute an ESMP and is therefore not sufficient to screen for ESP risks among for instance youth and women.</p> <p>Also, an initial gender assessment is not provided, please see to that and develop on this basis an initial Gender Action Plan with gender responsive indicators.</p> <p><b>CR13: Not cleared.</b> It is well noted that the programme was cleared by a UNEP Safeguards Officer (para. 80 and 208), and that new gender considerations have been integrated into the proposal (table 14), and that processes and components to be included for a more detailed gender assessment</p>	<p>lessons learned from AFCIA I related to gender equality.</p> <p>Based on this the revised proposal includes an updated Gender Action Plan using the Gender Action Plan (GAP) Template (Table 12), and outlined planned gender mainstreaming actions in Table 2.</p> <p><b>CAR4: Cleared.</b> A gender mainstreaming strategy is provided in Table 2. The results framework (Table 18) is updated with gender disaggregated indicators. Initial gender assessment undertaken and integrated into a Gender Action Plan (applying AF's template).</p>

	<p>benefit the most vulnerable groups including women and girls.</p> <p><b>CR14:</b> Please describe measures/ tools for mainstreaming, tracking, and reporting on gender and youth involvement during implementation.</p> <p><b>CAR4:</b> Please clarify the Gender Mainstreaming Strategy and Gender Action Plan, including a results framework with indicators that could be used to monitor and measure progress of the gender-responsive approaches and gender-mainstreamed activities.</p> <p>Guidance Document:</p> <ul style="list-style-type: none"> <li>• <a href="#">Gender Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy (Updated in 2022)</a></li> </ul>	<p>gender mainstreaming governance and MoE are described and listed (para 160, 162, 187-188 etc.).</p> <p>However, the proposed Gender Action Plan does not follow the AF format. In addition, the AF has a requirement that a gender assessment is included already at the Full Proposal stage. Please provide a preliminary gender assessment (could findings from AFCIA I MTR be compiled). A preliminary gender assessment including recommendations on how to mitigate and prevent identified gender equality risks as well as how to proactively empower women could then be included into the Gender Action Plan. Also, as noted under CR12.</p> <p>See AF Gender Guidance Document (for guidance regarding the gender assessment and gender action plan and its template (p.65): <a href="https://www.adaptation-fund.org/document/guidance-document-implementing-entities-compliance-adaptation-fund-gender-policy-2/">https://www.adaptation-fund.org/document/guidance-document-implementing-entities-compliance-adaptation-fund-gender-policy-2/</a>)</p> <p><b>CR14: Cleared.</b></p>	
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			<p>It is noted that the proposal describes measures for mainstreaming, tracking, and reporting on gender and youth involvement during implementation (Para. 146, 149, 161 162, 187). The target number incorporated gender aspects in table 18 (Refer to comment on CR20).</p> <p><b>CAR4: Not Cleared.</b> The proposal contains a Gender Action Plan, including a results framework with indicators to monitor progress of the gender-responsive approaches and gender-mainstreamed activities (table 12).</p> <p>The Gender Action Plan (GAP) does not follow AF's format and does not draw on a preliminary Gender Assessment (as already concluded under CR13). Provide an initial gender assessment and apply the GAP template as given in AF Gender Guidance Document (p.65). Then subsequently, in accordance with the findings and recommendations, if needed then update the results framework and the gender mainstreaming strategy.</p>	
	6. Is the project/pr	<b>Not clear.</b>	<b>CR15: Cleared.</b>	



	<p>ogramme cost-effective?</p> <p>In the case of regional project/programmes, does the regional approach support cost effectiveness? Does the project engage, empower and/or benefit the most vulnerable communities and social groups?</p>	<p>The proposal elaborates on the cost-effectiveness achieved through the strategic utilization of UNEP and CTCN's capacities, which includes tapping into their previous experience and existing networks. This is clear.</p> <p><b>CR15:</b> Concerning the preparation of the three concepts (Phase 1 and Phase 2 on page 37), it is not clear what the anticipated budget for the consultation, pre-feasibility studies and other activities would be. Given that the Adaptation Fund does not, at this time, normally fund project preparation activities for single-country projects implemented by multilateral implementing entities (but can do so for regional proposals), it would be useful to clarify whether the concepts would be single-country or regional in scope.</p>	<p>The proposal clarifies that CTCN will support the formulation of a fully-developed proposals for successful single country concept, and project preparation funds would be requested to the AF for regional proposal concept (para. 127).</p>	
	<p>7. Does the proposal describe how it will</p>	<p><b>Not Clear.</b></p> <p>It is noted that proponents applying through the CTCN</p>	<p><b>CR16: Cleared.</b></p> <p>CTCN will provide support to project proponents including non-conventional stakeholders through</p>	<p><b>CR17: Cleared.</b></p> <p>The link to Annex C has been amended to provide the response plan in English.</p>

	<p>screen innovation small grant proposals for consistency with national or sub-national sustainable development strategies, adaptation planning processes, national or sub-national development plans, poverty reduction strategies, national communications and adaptation</p>	<p>webpage initially will be screened against a set of minimum criteria, including “Is the request aligned with national strategies and plans?” See p. 28 para 75.</p> <p><b>CR16:</b> It is unclear whether the proponents would have the capacity to ensure the alignment with national strategies and plans. This may limit the potential to draw in private sector expertise and other innovation actors into AFCIA II. Please clarify how this potential issue could be addressed.</p> <p><b>CR17:</b> Please describe the eligibility and prioritization criteria that will be applied during evaluation of submissions to ensure that the micro-grants are linked to national plans and consistent with NDCs, NAPs and other relevant commitments.</p>	<p>bilateral meetings when needed (para. 56, 63)</p> <p><b>CR17: Not Cleared.</b> The proposal describes the eligibility criteria (para.75, table 5 and 6). Annex C is provided in Spanish. Please provide a version of this annex in English.</p>	
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	<p>programs of action, national adaptation plans (NAPs), nationally determined contributions (NDCs), adaptation communications, and other voluntary adaptation reports, where they exist, as well as with the UNFCCC technology framework, and other relevant instruments?</p>			
	<p>8. Does the proposal</p>	<p><b>Not Clear.</b></p>	<p><b>CR18: Not cleared</b></p>	<p><b>CR18: Cleared</b></p>

	<p>describe how it will screen innovation small grant proposals for meeting the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund?</p>	<p>The proposal briefly mentions that it will screen for meeting the relevant national technical standards on p. 64 para 175. However, the method and process of how to take on the national authorization and clearance is not outlined.</p> <p><b>CR18:</b> Clarify a proposed formal procedure (roles and responsibilities) for authorization and clearance.</p>	<p>The proposal includes the formal procedure (roles and responsibilities) for authorization and clearance. It includes the signature of the request by the NDE and Project Proponent(s) and the signature of the Response Plan by the NDE, the CTCN, project proponent(s) of the Technical Assistance and the DA/NIE of the host country (para. 172). This is well noted. However please outline the process for how endorsement letters will be submitted to the secretariat (for example through PPRs).</p>	<p>The proposal clarifies that a letter of endorsement (LOE) will be requested from the DA and copies shared with the secretariat along with the concept note during the submission process (para. 129). This is cleared. Please note that it might be more efficient to submit LOE through the Project Performance Reports (PPRs) as supplementary information.</p>
	<p>9. Is there duplication of project / programme with other funding sources?</p>	<p><b>Clear.</b></p> <p>The proposal outlines a practical and feasible approach to how duplication will be avoided, with transparency as a major element to help ensure that the same proposal will not be funded by separate</p>	<p>-</p>	

		funding sources.		
	10. Does the programme have a learning and knowledge management system to capture and disseminate evidence, particularly of effective, efficient adaptation practices, products or technologies generated, as a basis for potential scaling up?	<p><b>Not Clear.</b></p> <p>The applications will be accepted on a rolling basis.</p> <p><b>CR19:</b> Please elaborate on how the programme plans to systematically incorporate the lessons learned/ gained from various applications into the execution of subsequent operational phases to enhance the quality of service. Please describe the iterative learning process during the implementation. For example, through a Monitoring Evaluation and Learning system.</p>	<p><b>CR19: Cleared.</b></p> <p>The proposal listed several activities to gather feedback from the technical assistances and incorporate the lesson learned (para. 149).</p>	

	11. Has the proposal described what consultative process will take place, and how will it involve all key stakeholders, and vulnerable groups, including gender considerations?	<b>Yes.</b> The proposal plans for a comprehensive consultative process (p.53-54).	-	
	12. Is the requested financing justified based on full cost of adaptation reasoning?	<b>Yes.</b>	-	
	13. Is the project / program	<b>Not Clear.</b> The results framework	<b>CR20: Cleared.</b> The target number incorporated gender aspects: 1500 direct	

	aligned with AF's results framework?	<p>includes the indicator: Number of beneficiaries reached", with a target of 5,000 for Outcome 1 and 1,500 for Outcome 2.</p> <p><b>CR20:</b> Please incorporate gender aspects into the target of the framework.</p> <p>Component 1, 2 and 3 under the programme are in alignment with AF's Strategic Result Outcome 8 (and its outputs). P.73-76</p> <p><b>CAR5:</b> Please list alignment with all relevant outcomes of the AF strategic results framework that might apply. For example, activities focused on KM and Learning could be aligned with Outcome 3 and activities focused on enhancing institutional capacity may be aligned with outcome 2 and their respective outcome and output indicators. (<a href="#">Results Framework Alignment Table (Amended in March 2019)</a>)</p>	<p>beneficiaries with at least 30% of women, and 50% of indirect beneficiaries will be women and 20% youth (table 18). During implementation, <b>please further develop the metrics in the results framework of the proposal and report to the secretariat in the annual project performance reports.</b></p> <p><b>CAR5: Cleared.</b> The proposal lists alignment with all relevant outcomes of the AF strategic results framework (table 20).</p>	
	14. Has the sustainab	<b>Yes.</b>	-	

	<p>ility of the program me outcomes been considere d when designing the program me, including in the screening of the innovatio n small grants projects? Does the program me include pathways to scale up successf ul small grant projects?</p>	<p>The proposal outlines the scale-up strategy within and beyond the programme. The programme is promoting enabling environment tools and complementary tools, as well as anchoring technology solutions in National Systems of Innovation.</p>		
	<p>15. Does the project / program me provide an</p>	<p><b>Not Clear.</b> A specific webpage for the grievance mechanism will be established (para 156, p.57).</p>	<p><b>CAR 6: Cleared.</b> The response process will be managed by CTCN with unresolved complaints referred to UNEP as a second step. Further details regarding roles and responsibilities</p>	



	overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?	<b>CAR6:</b> Please describe the role and the responsibility under the grievance mechanism.	will be described in the GRM protocols, which are to be developed at project inception phase and presented during the launch workshop. (Para. 152 and 227).	
Resource Availability	1. Is the requested project funding within the parameters for large grants set by the Board?	<b>Yes.</b>	-	
	2. Is the Implementing	<b>Yes.</b>	<b>Not Cleared.</b> EE fee (USD 900,000) is at 10% of the total program cost (USD	<b>Cleared.</b>

	Entity Management Fee at or below 10 per cent of the project/pr ogramme for impleme nting entity (IE) fees and at or below 10 per cent of the project/pr ogramme cost for the executio n costs?	Each IE fee and EE fee is at 10%.	9,000,000). This is cleared. However, IE fee (USD 1,000,000) is 11% of the total program cost (USD 9,000,000), exceeding the cap of 10%. Please revise the IE to the cap of 10%.	Adjustments of fees made and streamlined throughout the proposal.
Eligibility of IE	1. Is the program me submitte d through an eligible Multilater al or Regional Impleme	<b>Yes.</b>  UNEP is an accredited IE of the Adaptation Fund.	-	

	<p>ning Entity that has been accredited by the Board? Is the programme submitted by an entity that has been invited by the Board to do so?</p>			
<p>Implementation Arrangements</p>	<p>1. Does the proposal include adequate arrangement for programme management at the multi-regional/r egional and national level, including</p>	<p><b>Not Clear.</b></p> <p>The proposal encompasses collaboration with UNEP Regional Offices such as in the selection process.</p> <p><b>CR21:</b> Please describe the coordination strategies in engaging with national institutions. Will it be performed by UNEP or CTCN?</p>	<p><b>CR21: Cleared.</b></p> <p>The coordination strategies in engaging with national institutions will be led by the CTCN through the NDEs. CTCN will liaise with UNEP Regional Offices at the selection phase of the projects to build synergies and avoid duplication with other projects / programmes (if any) already implemented or being discussed in the country. UNEP regional offices will also provide support to reach local stakeholders beyond NDEs through their networks. (Para. 53, 76, 171, 176, 186, 206, 217, 223)</p>	

	<p>coordination arrangements within countries and among them? Has the potential to partner with national institutions, and when possible, national implementing entities (NIEs), been considered, and included in the management arrangements?</p>			
	<p>2. Are there measures for</p>	<p><b>No.</b> The proposal includes</p>	<p><b>CR22: Cleared.</b> The proposal includes the risk and mitigation measures regarding the</p>	

	<p>financial and project/programme risk management?</p>	<p>institutional risks and project risks (table 15). On the other hand, the screening process has a maximum duration of 6 months, and the timeline from receiving the request to sharing the screening results is set at 10 months (p.28).</p> <p><b>CR22:</b> Please address the potential risks associated with delays in the screening and communication process, insufficient high-quality requests are received, risk that gender considerations are not adequately considered during the design and implementation of innovation grant, etc.</p>	<p>delays in the screening and communication process (table 14).</p>	
	<p>3. Are there measures in place for the management of environmental and social risks, in line with the</p>	<p><b>Not Clear.</b></p> <p><b>CAR7:</b> Please conduct an ex-ante environmental and social risks assessment in implementing the projects. (p.58)</p> <p>Please note that the ESMP must include the following:</p>	<p><b>CAR 7: Not cleared</b></p> <p>The proposal includes screening checklist for an ex-ante environmental and social risks assessment in implementing the projects (Annex J). The proposal further mentions that once USPs will be identified, they will be screened by SRIF. However, the tables presented in Annex J does not constitute an ESMP. Please include an ESMP and adjust</p>	<p><b>CAR 7: Cleared.</b></p> <p>In Annex J. an initial programme risk screening process is now provided (applying UNEP's SRIF and AF's ESP checklist). A satisfying ESMP has been developed.</p>

	Environmental and Social Policy of the Fund?	<ul style="list-style-type: none"> <li>✓ allocated roles and responsibilities for its implementation.</li> <li>✓ opportunities for consultation and adaptive management</li> <li>✓ credible budget provisions, as needed, for the implementation of the ESMP.</li> <li>✓ clear arrangements for the IE to supervise executing entities for implementation of ESMP.</li> <li>✓ clear monitoring and evaluation arrangements for ESP compliance</li> </ul> <p>For your reference:  <a href="#">ESP</a> and <a href="#">ESP Guidance</a></p>	the measures for the management of the environmental and social risks to align them with the ESP and the GP of the AF.	
	4. Are arrangements for monitoring and evaluation clearly defined, including	<p><b>Not clear</b></p> <p>The proposal includes a budgeted M&amp;E plan (Table 17). The table includes a budget for MTE and TE; however, it doesn't include the budget lines for Project Inception (Project Launch</p>	<p><b>CAR 8: Cleared.</b></p> <p>The proposal includes Project Launch Workshop, PPRs, and TA closure reports (table 15). The Project launch workshop will be co-funded by the CTCN (para. 71)</p>	

	<p>budgeted M&amp;E plans and sex-disaggregated data, targets, and indicators, in compliance with the Gender Policy of the Fund?</p>	<p>Workshop) Report, annual Project Performance Reports (PPRs), Completion summary report, Audit etc.</p> <p><b>CAR8:</b> Please include the budget line for the reports above.</p>		
	<p>5. Is a budget on the Implementing Entity Management Fee use included?</p>	<p><b>Yes.</b></p> <p>The table 16 shows a breakdown of the IE fee.</p>		

	6. Is an explanation and breakdown of the execution cost included?	<p><b>Yes.</b></p> <p><b>CAR9:</b> The percentages of both Program Execution Cost and Implementing Entity Fee in the Detailed Budget table (table 16) show as 9%. Please correct to reflect the accurate figure of 10%, as shown in the budget table on p.14.</p>	<p><b>CAR 9: Not Cleared.</b></p> <p>IE fee (USD 1,000,000) is 11% of the total program cost (USD 9,000,000), exceeding the cap of 10%.</p>	<p><b>CAR 9: Cleared.</b></p> <p>Adjustments of fees made and streamlined throughout the proposal.</p>
	7. Does the M&E Framework include a breakdown of how implementing entity IE fees will be utilized in the supervision of the M&E function?	<p><b>Not Clear.</b></p> <p><b>CAR10:</b> Please provide a breakdown of how IE fee is utilized in the supervision of the M&amp;E function.</p>	<p><b>CAR10: Cleared</b></p> <p>Table 16 explains the breakdown of IE fee in the supervision of the M&amp;E function.</p>	
	8. Is the timeframe for the proposed	<p><b>Yes.</b></p>		



	activities adequate ?			
	9. Is a summary breakdown of the budget for the proposed activities included ?	<p><b>Yes.</b></p> <p>The proposal includes the breakdown of the budget at the activity level (Annex D)</p>	<p><b>Please provide a clear copy of the Detailed Budget Table presented in Annex D (Table 23).</b></p>	<p><b>Cleared.</b></p> <p>The excel file has been provided.</p>
	10. Does the project/programme's results framework align with the AF's results framework? Does it include at least one core outcome indicator from the Fund's results framework?	<p><b>Yes.</b></p> <p>The proposed results framework aligns with the AF's indicators pertaining to Outcome 8. (See the comment in Q14. under Project Eligibility.</p>		
	11. Is a disburse	<b>Not Clear.</b>	<b>CAR11: Cleared.</b>	

	<p>ment schedule with time-bound milestones included ?</p>	<p>The disbursement schedule is not presented in the required format.</p> <p><b>CAR11:</b> Please revise the Disbursement Schedule using the AF template format. <a href="#">Disbursement Schedule Template</a></p> <p><b>CAR12:</b> The total amounts in the Disbursement table (p.93) do not correspond to the requested sum. Please make the corrections.</p>	<p>Disbursement table, table 21 has been revised and aligned with AF template format.</p> <p><b>CAR12: Cleared.</b></p> <p>The total amounts in the Disbursement table (table 21) have been corrected.</p>	
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**Funding Proposal Template for Adaptation Fund Climate Innovation Accelerator (AFCIA) fully developed programme proposals**



**PROGRAMME ON INNOVATION:  
AFCIA PROGRAMMES**

**REQUEST FOR PROJECT FUNDING FROM THE ADAPTATION FUND**

The annexed form should be completed and transmitted to the Adaptation Fund Board Secretariat by email.

Please type in the responses using the template provided. The instructions attached to the form provide guidance to filling out the template.

Please note that a project must be fully prepared when the request is submitted.

Complete documentation should be sent to:

The Adaptation Fund Board Secretariat  
1818 H Street NW  
MSN N7-700  
Washington, D.C., 20433  
U.S.A  
Fax: +1 (202) 522-3240/5  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)



ADAPTATION FUND

## MULTI/ REGIONAL INNOVATION PROJECT/PROGRAMME PROPOSAL

### PART I: PROJECT/PROGRAMME INFORMATION<sup>1</sup>

Title of Project/Programme:	AFCIA-UNEP II in Support of Innovation for Adaptation
Geographic Scope (Multi/Regional):	Global
Thematic Focal Area <sup>2</sup> :	Cross Sectoral
Type of Implementing Entity:	Multilateral Implementing Entity (MIE)
Implementing Entity:	UNEP
Executing Entities:	CTCN
Amount of Financing Requested:	10,000,000 (in U.S Dollars Equivalent)

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<sup>1</sup> Key policy documents:

- [PROGRAMME ON INNOVATION: OPERATIONAL POLICY AND GUIDANCE TO THE ADAPTATION FUND CLIMATE INNOVATION ACCELERATOR \(AFCIA\) IMPLEMENTING ENTITIES](#)
- [GUIDANCE TO IMPLEMENTING ENTITIES FOR APPLICATION OF INNOVATION INDICATORS FOR FULLY DEVELOPED PROJECT/PROGRAMME PROPOSALS](#) provides guidance on the new indicators that should be referenced when presenting alignment of project objectives and outcomes with the Fund level strategic outcome for innovation (Outcome 8).

<sup>2</sup> The programme can have a thematic focus or foci, such as the following (i.e. this is not an exhaustive list): Agriculture and food security; Disaster risk reduction and early warning systems; Forests and land use management; Human health, including maternal and child health and welfare etc.; Innovative adaptation financing; Local traditional ecological knowledge solutions, including harnessing or revival of indigenous, traditional solutions; Marine, fisheries, and oceans adaptation; Nature-based solutions, including ones that are biodiversity-supporting, in various settings (e.g. urban, peri-urban and non-urbanized); Urban adaptation and Water management.

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**Project / Programme Background and Context:**

*Provide brief information on the problem the proposed project/programme is aiming to solve, including both the regional and the multi-regional perspective. Outline the economic social, development and environmental context in which the project would operate in the target regions. Describe the problem the proposed project/programme is aiming to solve. Write this as a concise problem statement: The current situation, the desired future, and the gap between the two. Provide brief further information on the current situation including the regional perspective. Outline the economic social, development and environmental context in which the project would operate in the target regions. Describe the climate change vulnerabilities impacting the region/regions as well clearly explain the problem area that would be the focus of the innovation.*

**Project Overview**

1. The new mid-term strategy (2023-27) of the Adaptation Fund (AF) places a strategic emphasis on locally led adaptation action as a cross-cutting theme. This will allow for continuity of the Fund's work under the newly launched funding windows and grant modalities, such as innovation for adaptation technologies.
2. UNEP CTCN is currently managing a USD 5 million programme funded by the Adaptation Fund through the Special Financing Window in Support of Innovation for Adaptation, the "Adaptation Fund Climate Innovation Accelerator (AFCIA)" that was initiated in 2020 and will terminate in 2025.
3. With this proposal, UNEP CTCN proposes to continue to work with the Adaptation Fund to scale up innovative technologies for adaptation as well as take up new opportunities for engaging with the Fund's readiness grant funding and support for Direct Access Entities (DAEs). In particular, the CTCN will seek to scale up its work with the Adaptation Fund Climate Innovation Accelerator (AFCIA) to foster innovation in adaptation in developing countries, through an AFCIA II edition.
4. UNEP is the host of the Climate Technology Centre and Network (CTCN). The CTCN is the implementation arm of the Technology Mechanism of the United Nations Framework Convention on Climate Change (UNFCCC). The CTCN promotes technology transfer at the request of non-Annex I countries as they seek to meet their Nationally Determined Contribution (NDC) targets and Paris Agreement commitments. The Climate Technology Centre and Network as the implementation body of the Technology Mechanism accelerates the development and transfer of technologies to all Non-Annex I countries through their national focal point, called a National Designated Entity (NDE). The CTCN is a country driven process. The Climate Technology Centre and Network is accountable to and guided by the Conference of the Parties. The ability to respond to the diverse range of requests and provide customised services is made possible through a continuously growing number of technology service providers in the CTCN network (over 700 globally), who are contracted to provide technical assistance and capacity-building to developing countries on environmentally sound technologies.
5. The new Programme of Work (POW) of the CTCN (2023-2027) can assist in stimulating the uptake of existing climate technologies for adaptation. By working closely to respond to NDE requests it can ensure that critical financial and technical resources are available to support climate technology adoption, development, and transfer. Such innovations can be identified as part of climate-resilient pathways; in how stakeholder views are solicited in climate technology planning to achieve co-ownership; or in terms of the innovations developed for enhancing funding of climate technology projects and programmes. Such approaches can contribute to achievement of both Paris Agreement and broader Sustainable development goals (SDGs).
6. The first edition of the AFCIA programme was announced by the Adaptation Fund at the United Nations Climate Change Conference (COP25) in Madrid in December 2019 and launched in

November 2020. AFCIA, I consisted of a US\$ 10 million small grant aggregator programme implemented by the United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP) working in conjunction with the Climate Technology Centre and Network (CTCN). The Adaptation Fund Climate Innovation Accelerator, or AFCIA, aims to foster innovation in climate change adaptation in developing countries. The programme targeted a broad range of potential finance recipients, including governments, non-governmental organizations, community groups, entrepreneurs, young innovators, and other group to encourage and accelerate new innovations, develop innovative adaptation practices, tools, and technologies, as well as generate evidence of effective, efficient adaptation practices, products, and technologies to assess scaling up. It awarded competitive grants of up to US\$ 250,000 each. The first AFCIA programme supported countries to test, evaluate, roll out and scale up 25 innovative adaptation practices, products, and technologies. AFCIA, I focused on accelerating, encouraging, and enabling innovation for effective, long-term adaptation to climate change. The first programme also facilitated information sharing and the dissemination of best practices to support a learning mechanism for innovation in adaptation.

7. This second AFCIA UNEP-CTCN programme will extend Adaptation Fund's initiative to support the testing and piloting of innovative climate adaptation technologies while expanding towards the scale-up and leveraging of high-potential climate adaptation technologies. Additional focus will be set on enhancing the enabling environment of such technologies to accelerate technology uptake and market development. For that purpose, a National Systems of Innovation (NSI) approach will be adopted which will consider capacity building, learning and knowledge sharing, financing facilitation, policy development, and business modelling. This new approach will not only accelerate impact but also create sustainable change.

#### **Geographical context**

8. The AFCIA programme will be implemented globally in non-annex 1<sup>3</sup> - developing countries, with the only condition that the countries have a Nationally Designated Entity (NDE-focal point of the CTCN) in place. Particular attention will be paid to ensuring regional balance and adequately addressing the needs of Least Developed Countries (LDCs) and Small Island Developing States (SIDS).  
Despite only accounting for 3.3 percent of global greenhouse gas (GHG) emissions, LDCs face some of the greatest impacts from climate change and are battling against more frequent and extreme climate events including drought, floods, cyclones, heat waves, fires... This is reflected in the fact that over the past half-century, more than two-thirds of deaths worldwide caused by climate-related disasters occurred in LDCs. The 2022 Intergovernmental Panel on Climate Change (IPCC) report on impacts, adaptation and vulnerability confirmed that SIDS are also increasingly affected by tropical cyclones, storm surges, droughts, changing precipitation patterns, coral bleaching and invasive species<sup>4</sup>.
9. The transversal capacity building, and knowledge sharing phase of the project, component 3 – output 3.3, will be open to all non-Annex 1 countries, with or without Nationally Designated Entities (NDE), Nationally Implementing Entities (NIE) and Designated Authority(ies) (AD) under the Adaptation Fund, with the intention to reaching non-conventional stakeholders as well.

#### **Problem Statement**

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<sup>3</sup> [https://unfccc.int/process/parties-non-party-stakeholders/parties-convention-and-observer-states?field\\_national\\_communications\\_target\\_id%5B514%5D=514](https://unfccc.int/process/parties-non-party-stakeholders/parties-convention-and-observer-states?field_national_communications_target_id%5B514%5D=514)

<sup>4</sup> <https://reliefweb.int/report/world/state-climate-ambition-snapshots-least-developed-countries-ldcs-and-small-island-developing-states-sids>



10. Article 10, paragraph 5 of the Paris Agreement states that accelerating, encouraging and enabling innovation is critical for an effective, long-term global response to climate change and promoting economic growth and sustainable development. The Paris Agreement adopted by 195 member countries at the conclusion of COP21 in Paris recognizes that developing countries need support to help them achieve the agreement's objectives. This includes increasing cooperation on technology development and transfer at different stages of the technology cycle and renewed enthusiasm toward a global cooperative climate change policy and action.
11. Globally there are currently 46 countries recognized as part of the LDC group – 30 in Africa, 4 in the Arab States, 11 in Asia and the Pacific, and 1 in the Caribbean region – collectively constituting around 880 million people, or 12 percent of the world population. Eight are Small Island Developing States (SIDS)<sup>5</sup>. Despite only accounting for 3.3 percent of global greenhouse gas (GHG) emissions, LDCs face some of the greatest impacts from climate change. This is reflected in the fact that over the past half-century, more than two-thirds of deaths worldwide caused by climate-related disasters occurred in LDCs (IIED, 2021). LDCs are particularly vulnerable to climate change by nature of their geographic location, economic structure, and labour market composition, and limited adaptive capacity (ILO, 2022).
12. Climate technology diffusion is critical to addressing the problem of climate and the utilization, transfer and acceleration of technology can mitigate the negative climate effects in countries and regions<sup>6</sup>. Adaptive solutions include flood defences, establishing early warning systems for cyclones and crop diversification and improved irrigation efficiency, for example. It also involves strengthening the capacity of countries and communities to be more resilient and to cope better, in terms of skills and the ability access to suitable finance to newer technology.
13. Developing countries face economic, institutional, or technological barriers to the transfer and acceleration of climate technologies. Such barriers include a lack of capacity, access to finance and the absence of a coordinated community of knowledge and expertise. According to the UNFCCC, the most reported barriers to the development and transfer of the prioritized technologies for adaptation, are economic and financial; policy, legal and regulatory; institutional and organizational capacity; and technical. Within the first two categories, Parties identified the lack of or inadequate access to financial resources and an insufficient legal and regulatory framework as the most common barriers.<sup>7</sup>
14. As it stands now, the world's poorest countries play a minuscule role in low-carbon technology markets as buyers, sellers or innovators—despite being the most vulnerable to extreme weather events, flooding, damage to infrastructure, and habitat loss. The Paris Agreement highlights the importance of technology to implementing mitigation and adaptation actions, and related to agriculture, energy efficiency, renewable energy, climate observation and the majority of Parties mentioned technology in their revised NDCs mainly on early warning, infrastructure and urban planning, transportation, water and industry sectors. The reason behind their small role in the climate related technologies can, to an extent, be explained by scarcity of inputs, human, physical, financial, and organizational capital, needed to develop the said technologies. Developing, low-income and conflict prone countries encounter several obstacles to develop and boost climate change related technology. The up-front costs are high and their success ultimately requires governments to create favorable policies and procedures which facilitate innovation.

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<sup>5</sup> [https://www.undp.org/sites/g/files/zskgke326/files/2023-01/UNDP\\_The\\_State\\_of\\_Climate\\_Ambition\\_LDCs\\_Snapshot.pdf](https://www.undp.org/sites/g/files/zskgke326/files/2023-01/UNDP_The_State_of_Climate_Ambition_LDCs_Snapshot.pdf)

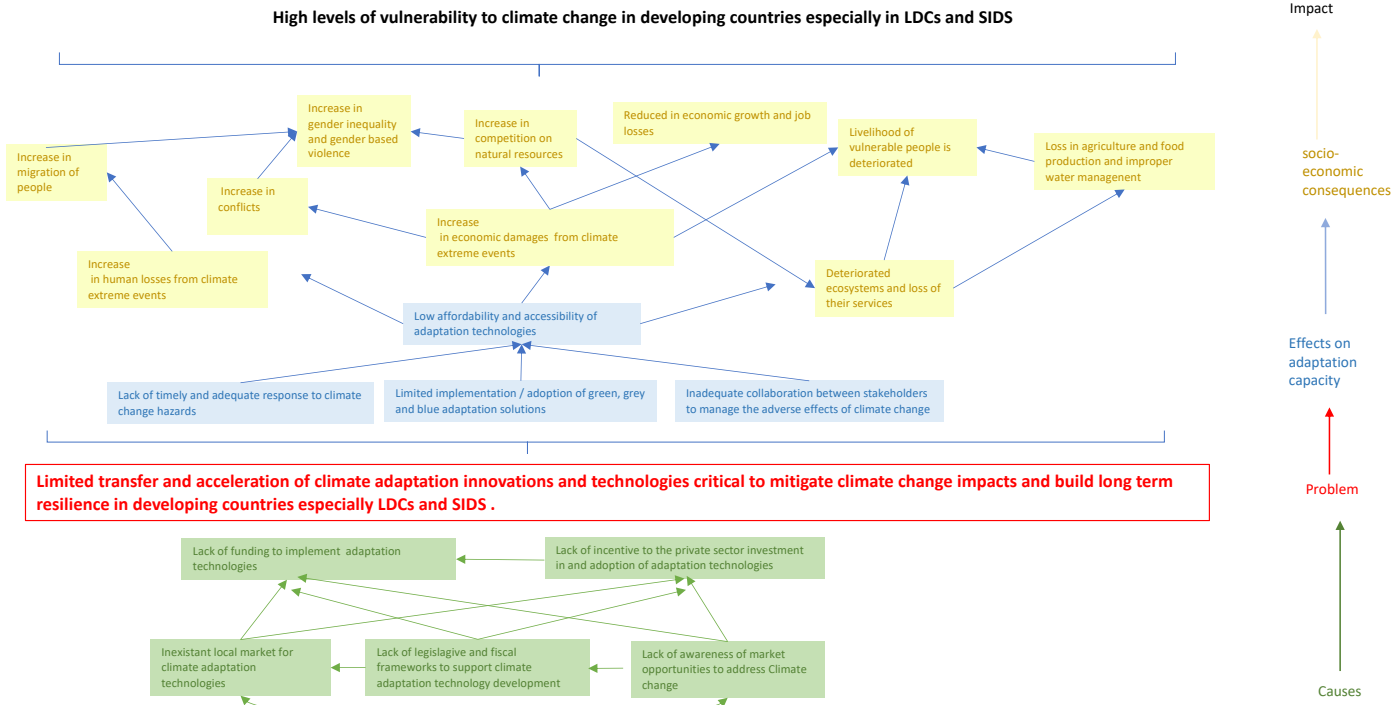
<sup>6</sup> Source: <https://www.oecd.org/env/cc/2956490.pdf>

<sup>7</sup> Source:

[https://unfccc.int/ttclear/misc/\\_StaticFiles/gnwoerk\\_static/barriers\\_and\\_enablers/186835fd2eb24fea9ee7347249519eb4/b1f223897a3543a4b2c0a1f28d00572d.pdf](https://unfccc.int/ttclear/misc/_StaticFiles/gnwoerk_static/barriers_and_enablers/186835fd2eb24fea9ee7347249519eb4/b1f223897a3543a4b2c0a1f28d00572d.pdf)

15. The mandate of the CTCN resonates with these challenges as it aims at actively engaging with the developing countries to provide technology solutions, capacity building and advice on policy, legal and regulatory frameworks, and its provision of support for the development of technology road maps, tailored to the needs of individual country contexts.
16. The aim of AFCIA II will be to test, scale up and leverage finance for innovative, transformative, and locally led climate adaptation technologies. The Problem Tree is summarized in the figure 1 below:

FIGURE 1 - PROBLEM TREE



### Climate Change and Innovation

17. Climate change is an amplifier of existing climate variation and will affect diverse communities, regions, and industries in different ways, presenting both opportunities and risks. The [Sixth Assessment Report of the Intergovernmental Panel on Climate Change](#) (August 2021), informs that the world is facing unprecedented risks from climate change and that every region is affected – as a “code red for humanity”. Inevitably, given the magnitude of the climate emergency, its cascading effects extend [beyond the environmental sphere and into the social and political realm](#). While climate change is rarely – if ever – the primary cause of conflict, it can act as a risk multiplier, exacerbating underlying vulnerabilities and compounding existing grievances.
18. Through its complex interaction with socio-economic, political or demographic factors, climate change can compound existing drivers of vulnerability. Where the interaction of climate change with other factors creates security risks, they can manifest in a number of different ways.
19. The development and deployment of new technologies, tailor-made to address climate related issues identified at community level, could play an essential role in addressing climate change and increasing resilience to the adverse effects of climate change. Promoting locally adapted, innovative and transformative climate change not only strengthens resilience but also provides opportunities for cooperation across dividing lines on issues of common concern, thereby helping to lower the risk of disasters.
20. This new programme AFCIA II will entail that:
  - Locally led adaptation technologies are identified, assessed, tested.
  - High-impact adaptation technologies are scaled up.
  - Enabling environments of technologies are strengthened through capacity building, business modelling and financing facilitation and NSI.
  - Successful pilots are leveraged in-country and across geographies.
  - Digital public goods, amongst other instrument, are made available globally for the broader learning and sharing, and potential replication of climate adaptation technologies.
21. For this UNEP CTCN AFCIA II programme, adaptation innovation is defined as the “application of physical tools, processes, knowledge and skills with the aim of building resilience and adapting to climate change”. Five main elements will be considered to identify and assess innovation in adaptation technology:
  - a. It can be a new, existing, or improved technology.
  - b. It can be of 2 types: a hard or soft technology – i.e., the hard- and soft- ware.
  - c. It should be innovative, transformative, and replicable.
  - d. It should be financially viable and sustainable.
  - e. It should be possible to anchor the innovation into an NSI.
22. Under this AFCIA II programme, UNEP CTCN proposes to introduce two innovations: the National Systems of Innovation to support the deployment of an enabling environment in the selected countries and Digital Public Goods as an instrument to foster knowledge transfer and support capacity building.
  - a. National System of Innovation will support collaborative approaches to climate technology research, development, and demonstration (RD&D); the creation and promotion of relevant enabling policy to incentivize and nurture a supportive environment for innovation; and the active engagement of the private sector and closer collaboration between the public and private sector. The Technology Executive Committee describes a National Systems of Innovation as ‘a network of actors, institutional contexts and linkages that underlie national technological

change<sup>8</sup>. There has been an emergence of a greater understanding of, and emphasis on, the role of innovation systems (at a national, sectoral, and technological level) to help developing countries with the climate technology transition. (TEC 2015; IPCC, AR6, p274<sup>6</sup>). NSI will be used to influence the decision making of the countries on a systemic level and develop enabling environment tools. NSI will thus take different forms depending on regional and local contexts. Strengthening the NSI of developing countries is the focus of Outcome 3 in which 10 projects will be selected to develop NSI. This activity will include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling environment.

- b. Digital Public Goods: is defined as a freely available and open- source software, data, and standards that will enable the design of policies, that support climate risk assessments, planning for adaption and resilience at country level, promotion of climate resilient pathways and informing climate investment decisions, as well as support the knowledge transfer component and continuous capacity building output.

The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template requesting a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology.

#### **Barriers to be removed by the Proposed Project**

23. There are several factors that influence the proliferation of technologies and prevent them from competing in the marketplace and achieving the necessary deployment. Such factors are attributed to the environment in which they take place and often are dependent on the people, systems, techniques and knowledge and overall conditions that are required for mass uptake and deployment. Identified barriers and obstacles that are encountered and the tools to enable full transfer differs significantly across countries. They often include regulatory barriers, a lack of information and policy uncertainty. Barriers identified barriers in the ToC (Annex E) are:
  - Lack of knowledge and capacity to develop high-quality requests: If the NDEs, Adaptation Fund's focal points and project proponents do not understand the objective of AFCIA II or lack the capacity to draft the proposal then only a limited number of high-quality requests will be received.
  - Lack of coordination between NDEs and Adaptation Fund's focal points: A lack of coordination or collaboration between NDEs and Adaptation Fund's focal points will make it more difficult for the proponents to get the necessary clearance to submit their requests.
  - Lack of support and active engagement from national and local stakeholders: Without the full involvement and commitment of the right institutions and actors as well as the active engagement of the beneficiaries themselves, climate adaptation technologies cannot be successfully and sustainably deployed, scaled up or leveraged nationally.
  - Limited funding resources: Testing technologies, establishing the relevant enabling environment, anchoring technologies to NSI require time and resources that stakeholders lack especially in developing countries, LDCs and SIDS.
  - Lack of gender-responsiveness: climate adaptation technologies can be innovative, transformative, and locally led, but lack the gender-responsive component which is however key for selection and implementation success.
  - Lack of a well performing enabling environment to support the deployment of the climate adaptation technologies.

<sup>8</sup>[https://unfccc.int/tclear/misc/\\_StaticFiles/gnwoerk\\_static/TEC\\_documents/5be1bf880cc34d52a4315206d54a711b/60d1580f741a4bc783da5a00cf64a879.pdf](https://unfccc.int/tclear/misc/_StaticFiles/gnwoerk_static/TEC_documents/5be1bf880cc34d52a4315206d54a711b/60d1580f741a4bc783da5a00cf64a879.pdf).

24. Climate technology diffusion can be enhanced by action that erodes such barriers. As a solution to address the barriers described above, this programme will aid the establishment of an 'enabling' environment and pathways for climate technology acceleration, responding to requests from developing countries. Countries receive technical assistance, capacity building and knowledge sharing support delivered by CTCN through network members to identify and deploy climate technologies. This builds the suitable endogenous capacity and mobilizes the private sector investment and enhanced institutional and legal frameworks to develop, transfer and deploy climate technologies. The design of National Systems of Innovation (NSI) deals with the notion of innovation and technology which development are the results of a complex set of relationships among actors in the system, which includes enterprises, universities, and government research institutes. Innovation is only referenced once in the Paris Agreement and is cited as a catalyst for climate technology action by countries (para 5 of the Paris Agreement). The NSI also encompasses the policies which seek to improve networking among the actors and institutions in the system and which aim at enhancing the innovative capacity of organizations, particularly their ability to identify and absorb technologies, are most valuable in this context.
25. This programme will facilitate collaboration across a broad range of stakeholders in promoting inclusive, gender-responsive, technology development and transfer, including endogenous and indigenous technologies. The CTCN interventions identify the best possible technology options for climate action, demonstrate the impact of the technology through its deployment and support policy development and resource mobilization to enhance their uptake.
26. The CTCN provides technology solutions, capacity building and advice on policy, legal and regulatory frameworks tailored to the needs of individual countries. This expertise was used during the implementation of the first AFCIA programme as 10 micro-grants benefitted from an improved enabling environment to support the dissemination of climate adaptation technologies. This includes, for Solar Pumping Irrigation Systems as an example, the development of a policy framework in Ghana, a financial "pay as you irrigate" model developed for Mozambique smallholder farmers, and a roadmap and M&E framework developed for Guatemala. These instruments strengthen the country's abilities to support the deployment of climate technologies by leveraging regulatory, and policy barriers. Under this AFCIA II programme, enabling environment will be established and improved through National Systems of Innovation, as defined in CTCN new Programme of Work (PoW).
27. AFCIA II programme will develop and communicate lessons learnt and technology factsheets<sup>9</sup> based on the results of the micro-grants implemented to support the knowledge sharing and sharing of good practices. As part of the AFCIA II proposal, a transversal and continuous knowledge and sharing component (Component 3- output 3.3) will be implemented.

#### **CTCN delivery model**

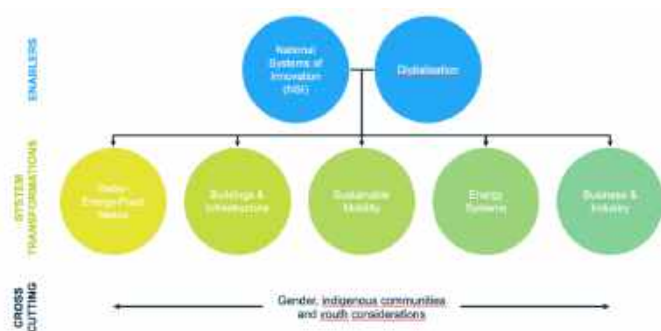
28. The CTCN is the implementation arm of the Technology Mechanism of the United Nations Framework Convention on Climate Change (UNFCCC) and is hosted by the UNEP Programme (UNEP). As core mandate, CTCN promotes the accelerated transfer of environmentally sound technologies for low carbon and climate resilient development at the request of developing countries. CTCN's new Programme of Work (PoW) 2023 – 2027 sets a priority on five system transformation areas with two key enablers, as shown in the graphic figure 2 below. The system transformation areas closely linked

<sup>9</sup> Technology factsheets summarize the potential of the technology to contribute to climate change adaptation, the technology's impact on development priorities, barriers and opportunities in implementing the technology, as well as the current status of the technology in the host country. Furthermore, it provides an evaluation on the timeframe of implementing the technology, looking at short term (2022 - 2025), medium term (2026 - 2030), and long term (2030 - 2050) outlook.

to the priority of this new AFCIA programme as they include: Water-Energy-Food Nexus and Buildings & Infrastructure as two of the main areas of adaptation needs.

29. Digitalization and National Systems of Innovation are considered as key enablers to (1) promote scalability of technologies, e.g., through digital public goods, and (2) ensure endogenous and continuous capacities of innovation at a national level. Innovation will not be restricted, and the initiative will allow for various types of innovation (technologies, techniques, innovative finance for adaptation, practices, mechanisms and other) based on a country driven process.

FIGURE 2: PRIORITY WORKING AREAS OF THE CTCN- FIVE TRANSFORMATION AREAS AND TWO KEY ENABLERS-



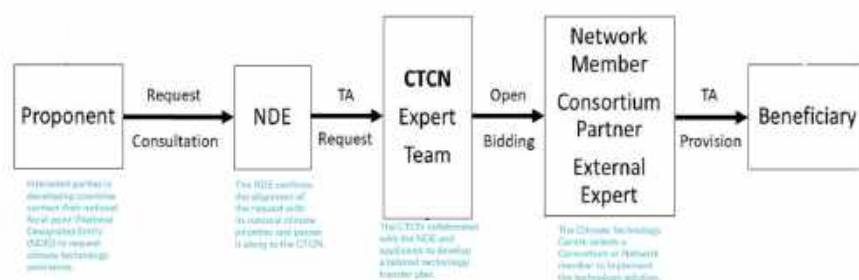
30. The CTCN is the primary link between the NDEs/ UNFCCC Technology Mechanism and the technology innovators and experts whose skill is required to deliver on the ambition of the Paris Agreement. CTCN ensures that project ideas match national circumstances and leverages the reach of Technology Mechanism and the convening power of the UNEP to provide investment certainty for governments. A party to the United Nations Framework Convention on Climate Change (UNFCCC) assigns a National Designated Entity (NDE) the responsibility to manage requests made of the CTCN. Establishment of a NDE is necessary before a Party to the UNFCCC can participate in the CTCN Technical Assistance process. An interested Party to the UNFCCC should have its National Climate Change Focal point communicate its selected NDE to the UNFCCC Secretariat. To update NDE's country's details, UNFCCC national focal point should send an email to the Secretariat. In a case a country would inform the CTCN of a change of NDE, the CTCN will report it, on a timely manner, to the UNFCCC Secretariat. This process is described under the CTCN webpage<sup>10</sup>. Once a country has officially nominated a NDE to the UNFCCC and the CTCN, it immediately becomes eligible to engage with the programme. The mandate of the NDEs is also available on CTCN website and include a role of "Facilitating CTCN sustainability by advocating support to CTCN by their home country and by encouraging the integration of climate technology issues in their country's development assistance strategies and plans"<sup>11</sup>.
31. The CTCN facilitates the transfer of climate solutions at the request of developing countries in collaboration with technology experts and providers. The most effective capacity-building provided by implementing partners of the CTCN is usually via the provision of technical assistance as presented in Figure 3. Under this delivery model, the budget associated to each Technical Assistance will be managed by a network member awarded through a competitive bidding process as per CTCN

<sup>10</sup> <https://www.ctc-n.org/about-ctcn/national-designated-entities>

<sup>11</sup> [https://www.ctc-n.org/sites/www.ctc-n.org/files/annex\\_1\\_national\\_designated\\_entities\\_-\\_roles\\_and\\_responsibilities.pdf](https://www.ctc-n.org/sites/www.ctc-n.org/files/annex_1_national_designated_entities_-_roles_and_responsibilities.pdf)

mandate and according to UN rules and procedures or by a consortium partner of the CTCN. The programmatic approach to delivering technical assistance involves offering increased opportunities for capacity-building, as it allows for a standardized approach to be replicated in countries with similar national circumstances. Local experts are generally involved at this stage, which is also an opportunity to enable South-South cooperation and knowledge exchange on key programmatic topics. The second independent review of the CTCN performed in 2017 concluded that the technical assistance process assures that integrity of the bidding process is maintained, but the approach can be technically demanding.

FIGURE 3: TECHNICAL ASSISTANCE PROCESS



32. From 2014 to August 2022, the CTCN received 398 requests for technology transfer from 108 countries. The ability to respond to the diverse range of requests and provide customized services is made possible through a continuously growing number of technology service providers in the CTCN members (over 700 globally), who are contracted to provide technical assistance and capacity-building to developing countries on environmentally sound technologies.
33. As a body dedicated to support climate change technology innovation, the CTCN has and will continue to transfer its experience to support the implementation of the AFCIA programmes by supporting innovations through three core services:
  - Providing technical assistance at the request of developing countries to accelerate the development and transfer of climate innovations and technologies.
  - Creating access to information and knowledge on climate innovations and technologies; and
  - Fostering collaboration among climate innovators and technology stakeholders via the Centre’s network of regional and sectoral experts from academia, the private sector, and public and research institutions.
34. AFCIA, I focused on the first three stages of the technology cycle, thus R&D, Demonstration and Deployment of technologies. AFCIA I was strengthened by CTCN’s mission to promote the accelerated transfer of environmentally sound technologies for low carbon and climate resilient development and in so doing to enhance the resilience of economies in LDCs, to enable the sharing and to foster engagement with the local private sectors.
35. This new AFCIA programme has been designed to transition AFCIA I from a pilot perspective to a full-reach programme capable of catalysing transformative change in the use climate adaptation technologies.

**Project / Programme Objectives:**

*List the main objectives of the project/programme.*



36. The primary objective of the proposed UNEP CTCN AFCIA II programme is to **support countries to test, scale up and leverage innovative, transformative, and locally led climate adaptation technologies across the technology cycle and anchor these into National Systems of Innovation**<sup>12</sup>.
37. Sub-objectives of AFCIA II are as follows:
- Encourage, test, and demonstrate climate adaptation technology innovation across technology development stages and sectors.
  - Scale up high-impact adaptation technology innovation for accelerated impact.
  - Create favourable enabling environments for continuous innovation capacities.
  - Share knowledge and build capacity on adaptation technologies, including the promotion of digital public goods through CTCN's platform.
38. The CTCN interventions identify the best possible technology options for climate action, demonstrate the impact of the technology through its deployment and support policy development and resource mobilization to enhance their uptake.
39. This programme will aid the establishment of an 'enabling' environment and pathways for climate technology acceleration, responding to requests from developing countries. Countries receive technical assistance, capacity building and knowledge sharing support delivered by CTCN through network members to identify and deploy climate technologies. This builds the suitable endogenous capacity and mobilizes the private sector investment and enhanced institutional and legal frameworks to develop, transfer and deploy climate technologies. This programme will facilitate collaboration across a broad range of stakeholders in promoting inclusive, gender-responsive, technology development and transfer, including endogenous and indigenous technologies.
40. This second edition has been designed to maintain the spirit and primary objectives of AFCIA I to "Support the development and diffusion of innovative adaptation practices, tools and technologies"<sup>13</sup> while integrating lessons learnt from this first programme. Efforts will be made on digitalization<sup>14</sup> with the use of National System of Innovation (NSI)<sup>15</sup> to reinforce the transparency of enabling environments of the countries. Please, refer to Part II for a detailed description on how lessons learnt from the implementation of AFCIA I programme have been considered and integrated in the definition of this second edition.

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<sup>12</sup> National Systems of Innovation (NSI) refers to a country's technological capabilities composed of a network of actors, institutional contexts and linkages that underlie national technological change. The NSI should thus play a central role in supporting a country's efforts to enhance action on climate change mitigation and adaptation. It also helps a country to meet other developmental challenges and add value to its national economy. ([TEC Brief #7, 2015](#))

<sup>13</sup> AF Outcome 8

<sup>14</sup> CTCN's enabler as per new Programme of Work 2023-2027

<sup>15</sup> Please refer to paragraph 22.

**Project / Programme Components and Financing:**

Fill in the table presenting the relationships among project components, outcomes, outputs, and countries in which activities would be executed, and the corresponding budgets.

For the case of a programme, individual components are likely to refer to specific sub-sets of stakeholders, regions and/or sectors that can be addressed through a set of well-defined interventions / projects.

- 41. The programme components and expected outcomes of AFCIA II are like the ones defined under AFCIA I to identify, demonstrate and scale up innovative adaptation technologies. The impact will be wider as more projects will be implemented (from 25 in the previous programme to 60 in this new edition). Additionally, a strong focus will be put on digitalization, defined as an enabler under the CTCN’s new programme of work, and on the establishment or improvement of National System of Innovations as a tool to reinforce the enabling environments of non-annex I countries. Finally, innovation instruments will be used under the transversal capacity building, and knowledge sharing phase using Digital Public Goods amongst others.

TABLE 1 - PROJECT / PROGRAMME COMPONENTS AND FINANCING

Project/Programme Components	Expected Outcomes	Expected Outputs	Countries	Amount (US\$)
1. Innovative, transformative, and locally led climate adaptation technologies are identified, assessed, and tested in developing countries	Technology development capacities are strengthened through the incubation process of innovative, locally led climate adaptation technologies.	<p>1.1 Outreach and capacity building plan developed and implemented for all non-Annex I countries with NDEs globally.</p> <p>1.2 40 innovative, transformative, and locally led climate adaptation technologies are selected.</p> <p>1.3 Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries and 40 exit strategies are formulated using NSI as a basis.</p>	Non-Annex I countries	6,160,000

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2. Innovative, transformative, and locally led climate adaptation technologies are scaled up	10 successful innovative locally led climate adaptation technologies are benefiting a greater number of people through additional funding	2.1 10 promising Innovative, transformative, and locally- led climate adaptation technologies are scaled up.	Non-Annex I countries	1,000,000
3. Innovative, transformative, and locally led adaptation technologies are leveraged through the establishment of enabling environments (NSI) finance and knowledge.	Innovative, transformative, and locally led adaptation technologies are promoted through strengthened enabling environments (National Systems of Innovation).	3.1 National Systems of Innovation for 10 adaptation technologies are established or improved in developing countries.  3.2 Concept notes are formulated and submitted to the Adaptation Fund to secure additional funds for promising adaptation innovations and technologies.  3.3 Knowledge and capacity on adaptation technologies is built through Digital Public Goods, amongst other instruments.Consolidation of Key Performance indicators is ensured.	Non-Annex I countries	1,021,819
4. Programme Activity cost				8,181,819
5. Programme Execution cost (10%)				909,091
6. Total Project/Programme Cost (Sum of 4 and 5)				9,090,910
7. Project/Programme Cycle Management Fee charged by the Implementing Entity (10%)				909,090
<b>Amount of Financing Requested</b>				<b>10,000,000</b>

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**Projected Calendar:**

Indicate the dates of the following milestones for the proposed project/programme.  
The duration of the programme should be up to five years.

TABLE 2 - PROJECTED CALENDAR

42. A Gantt Chart is available in Annex I.

Milestones	Expected Dates
Start of Project/Programme Implementation	May 2024
Mid-term Review (if planned)	May 2026
Project/Programme Closing	May 2029
Final Evaluation	May 2030

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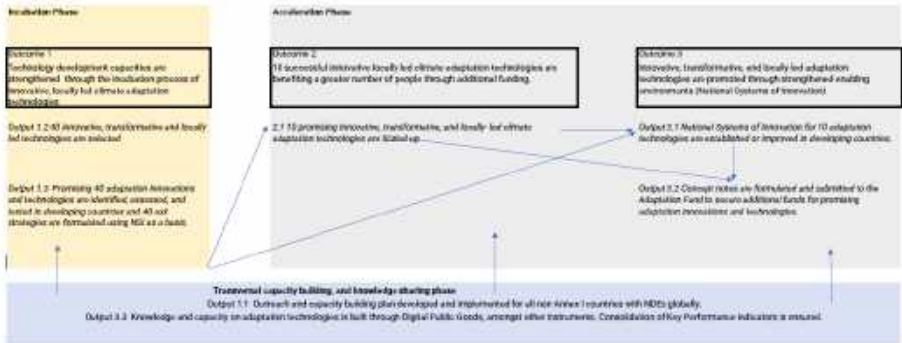
## PART II: PROJECT / PROGRAMME JUSTIFICATION

- A. Describe the project / programme components, particularly focusing on the concrete adaptation activities, how these activities would contribute to climate resilience. Describe also how they would build added value through the regional or multi-regional approach, compared to implementing similar activities in each country individually. Furthermore, show how the combination of individual projects would contribute to the overall increase in resilience.

### Overview of Programme components

43. The primary objective of the proposed UNEP CTCN AFCIA II programme is to **support countries to test, scale up and leverage innovative, transformative, and locally led climate adaptation technologies across the technology cycle and anchor these into National Systems of Innovation.**
44. Sub-objectives are:
- Encourage, test, and demonstrate adaptation technology innovation across technology development stages and sectors.
  - Scale up high-impact adaptation technology innovation for accelerated impact.
  - Create favorable enabling environments for continuous innovation capacities.
  - Share knowledge and build capacity on adaptation technologies, including the promotion of digital public goods through CTCN's platform.
45. The programme includes 3 main phases and 3 main outcomes: An incubation phase, an acceleration phase and a transversal capacity building and knowledge sharing phase, as illustrated under figure 4.
- The **Incubation Phase** includes Component 1 "Innovative, transformative and locally led climate adaptation technologies are identified, assessed and tested in developing countries".
  - The **Acceleration Phase** will be implemented through Component 2, "Innovative, transformative and locally led climate adaptation technologies are scaled up" and Component 3 "Adaptation technologies are leveraged through the promotion of enabling environments (NSI), finance and knowledge".
  - The **transversal capacity building and knowledge sharing phase** will be delivered through output 1.1 "Outreach and capacity building plan developed and implemented for all non-Annex I countries with NDEs globally" and output 3.3 "Knowledge and capacity on adaptation technologies, through Digital Public Goods, amongst other instruments, is built. Consolidation of Key Performance indicators is ensured".
46. UNEP CTCN are currently implementing AFCIA I programme and has learnt from the experience of these past 2.5 years of implementation of the programme. It has a deep understanding of the objectives of the AFCIA programme, the challenges faced while implementing the first phase of AFCIA and has already experienced the positive impacts of selected mitigation measures. An analysis of AFCIA baseline and lessons learnt is available under each component along with the proposed approach under AFCIA II. A list of all the MTR recommendations and suggested measures are available in Annex G.

FIGURE 4: COMPONENT OF THE PROGRAMME



## Contribution to Climate resilience

47. As per CTCN mandate, this programme will contribute directly to achieving Goal 13 of the Sustainable Development Goals (SDGs): "Take Urgent Action on Climate Change and its Impacts". It specifically contributes to 3 of the 5 targets:
  - Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries.
  - Integrate climate change measures into national policies, strategies, and planning.
  - Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning.
48. The focus of this new programme should be on factors promoting resilience, such as technological advancements and community driven, innovative solutions to help non Annex I countries make political climate-informed analysis, and access climate policies and strategies. Three risk dimensions should be considered:
  - Climate stressor or shock includes erratic, extreme and/or changed rainfall patterns, temperature increase, storms, shifting seasonal patterns, and ecosystem degradation;
  - Exposure: the presence of people, livelihoods, natural resources, infrastructure, or economic, social or cultural assets in places that could be adversely affected;
  - Vulnerability or coping capacity: the propensity of exposed elements to be adversely affected and the ability of systems to manage and overcome adverse conditions.
49. Developing and transferring technologies to support national actions on climate change has been an essential element from the beginning of the United Nations Framework Convention on Climate Change (UNFCCC) process. In 1992, when countries established the Convention, they included specific provisions on technology in the original text. The Paris Agreement requests technologies. Making sure that such technology transfers are done in a conflict sensitive way is an essential element, and the core mandate of the CTCN.
50. The impact of the programme on resilience will be analysed through 2 sets of indicators:
  - CTCN's M&E report that goes along with the closure report of the CTCN that will report mainly on gender and resilience impact at the end of each micro-grant projects.
  - Specific AFCIA indicators that would be monitored at micro-grants level as well as portfolio level through the AF Result Tracker (The full list of indicators from CTCN and Adaptation Fund is available in Annex A). These indicators are aligned with Outcomes 1 to 7 of the Adaptation Fund's strategic result framework<sup>16</sup> as well as with the mandatory Outcome 8 of the Innovation window of the Adaptation Fund. These same indicators were used to monitor AFCIA I programme :
    - Reduced exposure to climate-related hazards and threats
    - Strengthened awareness and ownership of adaptation and climate risk reduction processes.
    - Increased adaptive capacity within relevant development sector services and infrastructure assets.
    - Increased ecosystem resilience in response to climate change and variability-induced stress
    - Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas.
    - Improved policies and regulations that promote and enforce resilience measures.

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<sup>16</sup> <https://www.adaptation-fund.org/wp-content/uploads/2019/10/Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019-2.pdf>

- Support the development and diffusion of innovative adaptation practices, tools, and technologies.

#### **Regional or multi-regional approach**

51. Building on their experience in over more than 160 developing countries, UNEP and CTCN are well placed to promote a regional approach, whether via multi-country implementation or through the adoption of a programmatic approaches. Multi-country projects promote capacity building, analysis and research at a regional level that infuses direct support at country level and presents several efficiency gains such as lower transactional costs and the harmonization of policies and regulations across a region. The CTCN's programmatic approach often revolves around a standard methodology or thematic focus across several countries and may be established to facilitate the replication of a project type that has been effective in supporting transformational change. It allows the creation of synergies and experience sharing across different countries, stakeholders, and contexts. This collaboration promotes the engagement in a regional / multi-country approach that stimulates cooperation among projects and experts and starts a regional / global dialogue to ensure that regulations are harmonized, and markets converge. The multi-country collaboration encourages the engagement in a regional approach that stimulates cooperation among projects and experts and starts a regional dialogue to ensure that regulations are harmonized, and markets converge.
52. In the case of the implementation of AFCIA- Phase I programme, it was noticed that both Africa, Asia, and LAC regions requested assistance on water management including both Early Warning Systems for drought and floods, as well as the deployment of water management technologies (Slamdam, skimming well gallery system for agriculture use, Solar Pumping Irrigation Systems). Thus, based on this combination of individual projects, lessons learnt products and technology factsheets are being developed to contribute to the overall increase of knowledge and resilience. The CTCN will continue to replicate these programmatic approaches in implementing the AFCIA II programme and apply this common framework of activities based on a theme or focus area adapted to different national circumstances, that can be used across a subregion, region, or continent.

#### **Detailed description of the Programme outcomes, and outputs.**

##### **Incubation Phase – Component 1: Innovative, transformative, and locally-led climate adaptation technologies are identified, assessed, and tested in developing countries.**

53. Component 1 will follow the flow described below:
  - Reception of requests through CTCN webpage on a rolling basis
  - An automatic confirmation of reception is sent to the sender.
  - An automatic notification of submission is sent to the CTCN.
  - Revision of the mandatory requirements (template, signature of NDEs, adaptation request). If mandatory requirements are not fully respected, the CTCN will contact the NDE and project proponent to explain the changes requested.
  - Screening of the requests through eligibility, prioritization, and balancing criteria (please refer to paragraph 75 for further details).
  - Non prioritized requests are informed through a Non acceptance letter signed by CTCN director.
  - Pre-selected applications are shared with CTCN Advisory Board and Adaptation Fund Board as well as UNEP regional offices for comments.
  - Pre-selected requests are further analysed through the organization of a call with NDE and project proponents to discuss the request.
  - Following this call, request receive an acceptance or non-acceptance letter from the CTCN.



- Requests accepted are move to Response Plan drafting and signature.
  - Bidding process to select the awarded network partner of the CTCN in charge of the implementation of the micro-grants.
  - Signature of contract between the awarded partner and the UN
  - Kick-off the projects.
  - Implementation of the micro-grants
  - Closure of the micro-grants
  - M&E of the impact of the micro-grants
  - Transversal and continuous development of comms materials (success stories, video reportages) and knowledge sharing instruments (lessons learnt, technology factsheets).
54. The CTCN has a significant existing networking and communications infrastructure that would be brought to support the launch of the project and recruitment of the technology offering. In particular, the CTCN Knowledge Portal, [www.ctc-n.org](http://www.ctc-n.org), reaches over 100,000 visitors per year including climate change professionals, government officials, researchers, and students around the world. It enables users to access information on climate change innovations, download publications and case studies, and watch live technology-related webinars.
55. Countries receive technical assistance, capacity building and knowledge sharing support delivered by CTCN through network members to identify and deploy climate technologies. This builds the suitable endogenous capacity and mobilizes the private sector investment and enhanced institutional and legal frameworks to develop, transfer and deploy climate technologies.

#### **AFCIA I baseline and lessons learnt.**

56. AFCIA II is an extension of AFCIA I. Under Component 1 the main baseline established under AFCIA I will be followed and applied to a larger number of selected micro grants (from 25 in AFCIA I to 40 in AFCIA II). Micro-grants will have a duration of 12 to 18 months aligned with CTCN procedures. The maximum value of the contract will be of 250,000 USD per micro-grants as per Adaptation Fund Innovation Window requirements. As per the lessons learnt from AFCIA I, the main barriers for this component were the lack of understanding from the multiple type of possible stakeholders of the criteria of selection and purpose of the AFCIA I programme that could interfere with the reception of high-quality proposals. Under AFCIA I, 3 calls for projects were launched. The increase in the number of eligible applications received from one call to the next (47 for the 1st, 57 for the 2nd and 104 for the 3rd) showed the progresses made in reaching out to and building capacity of potential applicants. To overcome the barriers identified, the approach under AFCIA II has been carefully designed to ensure a transversal and continuous capacity building and knowledge sharing support to all the eligible countries throughout the implementation of the programme. calls for projects from Annex I countries. Outcome 1 of this programme, outputs 1.1 and 1.2 will be dedicated to leveraging good requests from non-annex I countries with a focus on SIDS and LDCs. Under the request of the countries and aligned with CTCN's mandate, the CTCN team will support the countries in formulating their requests. The resources needed to support the countries in formulating their requests will be co-funded by the CTCN. This support from the CTCN will include the possibility for the NDE to contact the CTCN with a problem statement and request support to identify possible solutions before submitting an official request under AFCIA II. Also, bilateral meetings with the project proponents (including non-conventional stakeholders) and NDEs could be convened, to discuss possible ways to improve the quality of the submitted requests and align them to the objectives, outcomes, and outputs of the programme. This co-funded

support will be applied to the improvement of the request in general, including strengthening of the section on alignment of the request with national strategies and plans.

The recommendations from AFCIA I's MTR related to the Outcome 1 of AFCIA II are as follows:

- Increase accountability of implementing partners toward the government and government engagement in project governance structures notably during implementation.
  - AFCIA II should encourage the mapping and engagement of the national innovation ecosystem as a part of the formal design requirements, when developing the Response Plan.
  - There is a need to think through how AFCIA will affect change and promote innovation.
  - There is the need to realise the benefit of promoting piloting of concrete interventions and technologies, in addition to technical assistance, research and studies, to demonstrate effects and obtain related learning
57. AFCIA I was eligible to developing countries with a NDE only if the country did not have a NIE in place. NIE and NDEs are not always the same, and not always connected, and thus countries that would have a NDE but also a NIE would not always understand the reason for not being eligible under AFCIA I. That is why it is proposed that AFCIA II should simplify the process and be aligned with CTCN mandate to work with all Non Annex I countries as soon as they have a NDE in place.
58. Under AFCIA I, 5 lessons learnt, 5 communication products, one guidance document and 2 photo reportages have been or will be generated to encourage the uptake of the tested promising adaptation innovation and technologies. The requests selected under AFCIA I programme mainly come from governmental agencies. This demonstrates that the communication with the NDEs is effective and that the goal of the programme is adequately spread amongst the ministries at national level. However, UNEP CTCN believes that a stronger engagement could be established with public institutions, academia, universities, think tank, centers of research. Indeed these institutions are identifying and analysing new and innovative ideas on a daily basis, without being committed to any specific branding technology (private sector). Furthermore, the public sector understands the benefits of developing feasibility studies or implementing pilots at small scale, without requesting assets to be disbursed to their institutions. Some intent were taken during the launch of the third call for proposal of AFCIA I to stimulate the participation of the public sector, but without leading to the expected number and quality of requests expected. A continuous, and targeted trainings and information sharing about AFCIA I to these groups of actors should enable to further leverage their participation (Output 1.1 and 3.3).

#### **Proposed approach for AFCIA II**

59. AFCIA II will be accessible to all Non-Annex I countries with an Nationally Designated Entity in place. This differs from AFCIA I under which countries with NIE would not be eligible under AFCIA.
60. The procedures applied to source projects will be the same as the one applied under AFCIA I with the minor difference that applications would be received on a rolling basis instead of call for proposals. This change is suggested in order to limit the delays between country's submission and final notification of selection or non-approval from the CTCN.
61. A rolling basis system will also enable the CTCN to work more closely with the countries and project proponent in reviewing and approving their requests. It is expected that this change will have an impact on the number of high quality requests received.
62. The eligibility, prioritization and balancing criteria will also be made public and will be available online, through CTCN webpage. Mitigation requests will be redirected to normal CTCN

requests. For non-prioritized requests, an explanation will be provided on the reasons of the rejection. When considered necessary, bilateral meetings will be held between the CTCN and the project proponents/NDEs to discuss how to improve the quality of the request to make it eligible and align it with objectives, outcomes, and outputs of the programme. These activities will be co-funded by the CTCN. Likewise, countries will be encouraged to review their requests to align it with AFCIA II objectives or to submit new requests that would fit better under AFCIA II. For example, it might be the case that a country requests support for the introduction of solar energy. The applicant, with the support of the CTCN could be encouraged to think about possible use of solar energy that would support adaptation (such as Solar Pumping Irrigation Systems for example). In such cases, mitigation co-benefits will be provided through the implementation of an adaptation technology.

63. As a difference with AFCIA I, dissemination and communication about the programme will be done on a continuous and transversal manner through Outcome 1, output 1.1 and Outcome 3, output 3.3. through the organization of informative webinars, diffusion of newsletters, use of social media, formulation of factsheets, success stories that will be published regularly. This continuous and transversal effort targeting both specific regions, and actors (specific sessions could be organized for non-conventional stakeholders such as universities / centers of research and think tank, NGOs and private sector) should help in increasing the quality of the requests and consequently the percentage of eligible TAs. As part of the expected outputs planned under the transversal Outcome 3 – Output 3.3, the CTCN will use different instruments, including Digital public goods, to boost replication and spread the learning and capacity sharing acquired on the climate adaptation technologies. To ensure that LDCs and SIDS have sufficient support to engage in the offering of innovation ideas additional assistance will be provided through bilateral meetings and specific sessions with these countries. These countries will be, for example, offered the chance to contact the CTCN in order to present a problem statement and request the CTCN to support them in identifying possible solutions. Those solutions might not always be aligned with the programme's objectives but could lead, when relevant, to eligible requests. As well, specific webinars targeting non-conventional stakeholders will be organized throughout the implementation of the programme. .
64. Feedback from the projects, programmes and initiatives implemented locally, nationally and regionally will also be gathered through the events organized or attended by the CTCN, including but not limited to, for example, the GCF vision to the concept, Incubator Programme for LDCs, and SME clinics, Programmes, events, and information resources generated to assist the preparation and implementation of the Technology Needs Assessments (TNA) and National Adaptation Planning (NAP) process, events and trainings co-organized with entities of the financial mechanisms, Conference of Parties, Regional Forums, sectoral and regional conferences, and host-institution conferences such as UNEA, as well as events that are organized by any of the following stakeholders: CTCN, Advisory Board members, NDEs, Network members, or participation in existing regional or international events, such UNFCCC events. This methodology has been implemented but not systematically under AFCIA I.
65. The Adaptation Fund endorses National Implementing Entities (NIE) which could differ from CTCN's Nationally Determined Entities (NDEs). Reinforcing the cooperation and collaboration between NIE and NDEs will be beneficial for the project, for the country as well as for Adaptation Fund/ UNEP-CTCN as it will foster the involvement of the host country. Thus, the CTCN will organise virtual meetings with the NDEs and the Adaptation Fund's NIEs/DAs at the selection process phase with the intend to establish clear collaboration between the 2 focal points so that eligible requests received by the NIE could easily reach the NDEs and CTCN for review – and vice versa. The Commitment of key policy/decision makers will be ensured by the signature of the request by the NDE and Project Proponent(s) and the signature of the Response Plan by the NDE, the CTCN, project proponent(s) of the Technical Assistance and the DA/NIE of the host country. The Response plan's signature page will be shared with the Adaptation Fund together with the PPR. During AFCIA I's implementation, a project was

implemented in Burundi about water flood management. The request was endorsed by the NDE and DA of the country. The implementation was followed by both ministries, and a very strong endorsement of the country was noticed. This connection between both representative of CTCN and Adaptation Fund eased the process of decision to leverage the project to the formulation of an AF concept note. Similar cases will try to be replicated during the implementation of AFCIA II programme. Although AFCIA I already considered the possibility to engage with Adaptation Fund’s focal points, a more systematic approach will be applied under AFCIA II, with the organization of digital informative meetings with the NDE and NIE/DA at selection stage and by adding the NIE/DA as mandatory project proponent of the projects which will ensure its continuous involvement during the implementation of the technical assistances as NIE/DA will then be copied in all communication related to the project, invited to all events organized under the project, and expected to review and approve the deliverables submitted by the implementer.

Recommendations from AFCIA I MTR have been integrated into UNEP CTCN AFCIA II. The measures suggested to integrate MTR’s recommendations into UNEP CTCN AFCIA II proposal for Outcome 1 are described in table 3 below:

**TABLE 3 - RECOMMENDATIONS FROM AFCIA I’S MTR AND SUGGESTED MEASURES UNDER UNEP CTCN AFCIA II- OUTCOME 1**

#	MTR conclusions	MTR recommendations	AFCIA II responses
1	Diminishing government engagement during procurement and project implementation, reducing ownership and a conducive enabling environment for technological replication and scale.	Increase accountability of implementing partners toward the government and government engagement in project governance structures notably during implementation. This should include funding the incurred costs of government participation in these sessions, notably in LDCs notably in Africa. (e.g., insisting on the dedicated budget line by implementing partners to cover travel costs) This should nevertheless remain within UNEP/CTCN financial management rules.	The response plans will fully integrate an engagement and accountability strategy for project proponents and NDE/DA through consultations and clearance processes. CTCN will ensure through the procurement processes that implementing entities keep a sufficient budget to support travel and other costs associated with the implementation of the engagement and accountability strategy. Please refer to table 7.
2	UNEP/CTCN procedures and project ideation via the government reduced the engagement of the full knowledge helix (including non-governmental actors, such as the private sector), in developing innovation projects.	Encourage the mapping and engagement of the national innovation ecosystem as a part of the formal design requirements, when developing the Response Plan	The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template will request a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the

			<p>proposed adaptation innovation or technology. Please refer to paragraphs 79 and 81.</p>
3	<p>Project ideas came from various sources, but nevertheless remained largely government driven, also due to the established structures and processes of the fund. There were very few, competing ideas, not even “push by science and technology”.</p> <p>There are limited formal Adaptation Fund and hence CTCN requirements for a Theory of Change/programme logic at the overall fund level or subsequently for individual projects and these logics remain focused on the identification and implementation of individual, technology projects.</p>	<p>There is a need to think through how AFCIA will affect change and promote innovation, so that it can be managed accordingly. AFCIA II, also at the individual project level would substantially benefit from a more detailed definition how it seeks to promote innovation, with related objectives, intermediate outcomes, related change mechanisms and causal relationships, as well as notably, underlying assumptions, for example, through a theory of change process. While a theory of change has been developed for AFCIA II, the supported projects are repeated at different levels of the logic, including at the goal level (see duplication of the goal statement and outputs 1.3 and 3.1. in particular), focusing attention on the fund management process rather than innovation itself or adaptation and resilience impacts.</p>	<p>In order to ensure that the ideas being sourced are the best that they can be for the targeted countries, CTCN/UNEP will test, in the coordination services proposal, an approach to support the ideation process through regional hubs that bringing together R&amp;D institutions and the private sector for investment facilitation for the ideation process. Those meetings will be facilitated by AFCIA IEs at regional level and aim at discussing the innovations that have been funded, those that have been shortlisted and those that could be prepared to invite feedback sessions to strengthen the current and future concepts. (see table 14)</p> <p>A Problem Tree and Theory of Change have been added to the AFCIA II proposal (see figure 1 and Annex E). In addition, for the second phase of AFCIA a section will be added in the response plan template that will request a preliminary assessment of the existing national innovation system to highlight how change brought by the proposed adaptation innovation or technology can be promoted and sustained. Please refer to paragraphs 79 and 81 of the proposal.</p>
4	<p>Of the reviewed projects, while outputs were delivered or were likely to be delivered, the one delivering real, palpable impact on community resilience was the SLAMDAM mobile flood barrier in Burundi, demonstrating the importance of delivering concrete, palpable results on the ground</p>	<p>Realise the benefit of piloting concrete interventions and technologies, in addition to technical assistance, research and studies, to demonstrate effects and obtain related learning</p>	<p>Future applicants of AFCIA II programme will be encouraged to include a component on piloting concrete interventions with short term benefits for vulnerable communities as part of their proposal (technology concept). Guidelines will suggest that at least 25% of the total technical assistant is dedicated to on the ground implementation of the adaptation innovation and/or technology to showcase the benefits of such intervention and secure future interest and engagement for its scale up. (see paragraph 72)</p>

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The respective sessions of the proposal have been formulated to integrate these recommendations. Lessons learnt and recommendations extracted from the implementation of AFCIA I have also been transposed into mitigation measures that have been reflected in this AFCIA II proposal.

**Output 1.1: Outreach and capacity building plan developed and implemented for all non-annex I countries, with NDEs, globally.**

66. CTCN, UNEP and the Adaptation Fund will work closely to promote this new programme and disseminate information in the most coherent, timely, wider manner by using as many tools as relevant and with the support of their respective networks, partners and relations, as considered necessary.
67. In order to effectively engage in innovation for adaptation a number of conditions need to be in place. In particular countries must have:
  - A clear understanding of innovation and technology options,
  - A plan to promote the development and acceleration of prioritized innovation and technology options
  - Partnerships at multiple levels to build capacity and facilitate the uptake of innovation and technology options
  - Benefit from the adequate regulatory framework, policies and a performing Enabling Environment.
68. To ensure sufficient, high quality requests, and as a lesson learnt from the implementation of AFCIA I, a concerted and focused communication and outreach strategy and capacity-building effort will be undertaken during the incubation phase of the programme (Output 1.1 and 3.3). An communication and outreach strategy and capacity-building plan will be developed and implemented. Relevant information will be disseminated through UNEP and CTCN newsletters (currently reaching over 6,000 registered users), CTCN webinars (live and recorded views typically number about 500), CTCN website and social media channels, as well as UNEP thematic platforms, networks and CTCN knowledge partners<sup>17</sup>. Communication and outreach strategy will be conducted via various UNFCCC constituency groups, such as the Women and Gender Constituency.
69. The CTCN incubator model will be applied to provide support to LDCs and SIDs through the elaboration of assessments of innovation markets and priorities, and in-person and online training on innovation proposal development co-funded by the CTCN. The incubator model was created during CTCN's previous programme of work to support LDCs to achieve their NDC targets through technology interventions, and will be applied to AFCIA II as a successful methodology to ensure participation from LDCs and SIDs.
70. In delivering this output, particular attention will be paid to the potential role of women entrepreneurs and adaptation innovation and technology specialists. Promoting gender equality in the sense of (i) gender-specific initiatives; (ii) gender mainstreaming is a mandatory component of CTCN Technical Assistance and will thus be also requested under the implementation of this AFCIA II programme. "Gender-specific initiatives" would address the fact that women are underserved when it comes to technologies and capacity development, so historical imbalances need to be corrected, while the "gender mainstreaming" would provide equal/equitable opportunity to men and women.
71. Activities under this output will include:

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<sup>17</sup> <https://www.ctc-n.org/about-ctcn/knowledge-partners>

- Activity 1.1.1: Develop an communication and outreach strategy and capacity building strategy covering a wide range of stakeholders globally based and across the full implementation of the program. This strategy will ensure that all relevant stakeholders, including policy and decision makers, are engaged at early stage (Response Plan stage for selected requests) to ensure that technology development and transfer can successfully take place and benefit the most vulnerable.
- Activity 1.1.2 : Prepare the communication tools to launch the program including the digital platform hosted under CTCN webpage, and through which micro-grants requests will be submitted.
- Activity 1.1.3: Organize a Project Launch Workshop . The Project Launch Workshop will be held digitally within 3 months following the signature of the programme. The Project launch workshop will be co-funded by the CTCN.
- Activity 1.1.4: Official launch of the platform through a high level event. The requirements of the program will be publicly accessible on CTCN webpage and submission will be done online through the webpage.
- Activity 1.1.5: Engage and support different stakeholders in LDCs and SIDS in the development of requests for micro-grants through bilateral meetings and the organization of training workshops on proposal writing.

**Output 1.2: 40 innovative, transformative, and locally led climate adaptation technologies are selected.**

72. The expressions of interest to participate in the micro-grants innovation programme, as determined by the submission of a signed request form, will result in the selection of 40 innovative and transformative technology concepts. The selection will be made from a wide range of developing countries and analysed against criteria such as appropriateness, effectiveness, efficiency, gender responsiveness, and cost (please refer to paragraph 75). The criteria will be made available through the dedicated AFCIA II webpage hosted within CTCN's webpage. All requests will need to demonstrate concrete adaptation action as defined by the number of people with reduced vulnerability to climate change, the number of new adaptation approaches launched, and the amount of funding for adaptation innovation leveraged. Selected requests will also need to demonstrate an innovative and transformative approach with regards to the technology to be tested, a financial model to be deployed for the scaling up of adaptation climate technologies, the creation of an enabling environment customized to the specific needs of the host countries, or affiliate. Future applicants of AFCIA II programme will be encouraged to include a component on piloting concrete interventions with short term benefits for vulnerable communities as part of their proposal (technology concept). Guidelines will suggest that at least 25% of the total technical assistance is dedicated to on the ground implementation of the adaptation innovation and/or technology to showcase the benefits of such intervention and secure future interest and engagement for its scale up.
73. As soon as a new request is submitted online through the CTCN webpage, an automatic response acknowledging the reception of the request will be sent to the project proponent while allocating a traceable number to the request and informing the sender that screening will be done every 6 months. The CTCN will be requested to screen the request within 6 months after its reception. A written communication will be shared with the sender no later than 10 months after reception of the request to share the results and constructive feedbacks on the screening process.
74. The screening of the requests will be ensured by the technical team of experts of the CTCN regionally based on clear eligibility, prioritization, and balancing criteria previously defined and approved with the UNEP and the Adaptation Fund and publicly available on CTCN webpage, under the specific section created for AFCIA II programme. The screening will be done online, within 6 months after reception of a request, through the secured CTCN webpage to ensure

traceability and transparency of the process. This output is part of the **Incubation Phase – Outcome 1**.

75. CTCN will screen innovative and transformative requests based on the following criteria (Activity 1.2.1) based on the reviewed criteria approved during the Advisory Board held in Bonn in September 2023<sup>18</sup> As part of this revision of the criteria, gender were included as both balancing and prioritization criteria.

a. Minimum Eligibility Criteria (all the following must be met):

(Instruction: Insert Yes or No - all criteria must be met for the Request to be Eligible)

Eligibility Criteria: a technical assistance proposal must meet ALL the following criteria in order to be considered eligible.

**TABLE 4- MINIMUM ELIGIBILITY CRITERIA**

#	Eligibility Criteria
1	Has the request been submitted under the right template?
2	Is the request signed by the NDE/DA of the host country?
3	Is the request focused on Adaptation to Climate Change and demonstrate building resilience to climate change in the requesting country?
4	Does the request promote innovative, transformative and locally led adaptation climate adaptation technologies and solutions?
5	Does the request promote endogenous <sup>19</sup> knowledge and/or locally-led technologies?
6	Does the request promote stakeholder engagement and women empowerment?
7	Does the project contribute to transfer of knowledge to the host country?
8	Does the request a clear and positive benefit to the requesting country in adapting to the negative effect of climate change?
9	Does the request have potential for replication or scaling up?
10	Is the request aligned with national strategies and plans <sup>20</sup> ?
11	Are processes in place in the requesting country to support, monitor and evaluate the project implementation? . <sup>21</sup>
<i>Insert total number of Yes:</i>	

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<sup>18</sup> [https://www.ctc-n.org/sites/www.ctc-](https://www.ctc-n.org/sites/www.ctc-n.org/files/AB2023.22.23_Draft%20Revised_Eligibility_and_Prioritization_Criteria.pdf)

[n.org/files/AB2023.22.23\\_Draft%20Revised\\_Eligibility\\_and\\_Prioritization\\_Criteria.pdf](https://www.ctc-n.org/files/AB2023.22.23_Draft%20Revised_Eligibility_and_Prioritization_Criteria.pdf)

<sup>19</sup> Endogenous capacities include the capacities to (i) Assess climate-related technology needs from the individual to the national level, (ii) Identify appropriate technologies to assist in meeting identified needs, and (iii) Adapt technologies to local needs and conditions.

<sup>20</sup> Including inter alia National Development Plans, sectoral plans, Technology Needs Assessments, NDC, National Adaptation Plans, National Biodiversity Strategies and Actions, etc.

<sup>21</sup> The NDE ensures to work with the CTCN to monitor the support provided by indicating this in the Request.



b. Prioritization criteria

(Instruction: Please rank these criteria between 1 to 5 – 1 being the lowest)

The technical assistance request must meet at least nine of the following fifteen criteria in order to be prioritized

TABLE 5- PRIORITIZATION CRITERIA

#	Criteria
1	Does the request respond to a clearly identified climate change problem and bring tangible positive adaptation benefits to support resilience-building of the most vulnerables?
2	Does the request promote endogenous / locally-led technologies and processes? <sup>22</sup>
3	Has the technology already been positively tested locally?
4	Does the request demonstrate "project readiness" and have the potential for replication or scaling up (nationally, regionally, and/or internationally)?
5	Does the project lead to strengthening the institutional capacities of the requested country?
6	Does the request promote stakeholder engagement including community involvement?
7	Does the request enable leveraging of public and/or private financing? <sup>23</sup>
8	Does the request promote and demonstrate social and economic benefits?
9	Does the request promote and demonstrate gender equality, and empowerment of the most vulnerable groups, including women and youth?
10	Does the request support the development or deployment of innovative technologies?
11	Is the request aligned with CTCN's current Programme of Work and Adaptation Fund's priorities?
12	Does the request promote collaboration among stakeholders, including between countries (South-South, bilateral or multilateral cooperation)?
13	Has the request been developed in collaboration with the Adaptation Fund's NIE/DA?
14	Is the request aligned with the priorities of the bodies under the Financial Mechanism and/or other constituted bodies under the Climate Convention?
15	Does the request contribute to the avoidance of conflicts in communities due to the impacts of climate change?

Balancing <sup>24</sup>criteria

The technical assistance proposal must meet at least three of the following criteria to contribute to balancing the technical assistance portfolio

TABLE 6 - BALANCING CRITERIA

#	Balancing Criteria
1	Does the request contribute to Inter and intra-regional equity, with a preference for requests submitted by highly vulnerable and low-capacity countries including LDCs and SIDs ?

<sup>22</sup> Including climate technology innovations.

<sup>23</sup> Including if the request demonstrated the potential for financing from private or public sector ("bankability") opportunities.

<sup>24</sup> <https://www.ctc-n.org/sites/default/files/AB20156%207a%20TA%20Process%20and%20Criteria%20Final%20for%20review.pdf>

2	Does the request contribute to a diversity and balance of adaptation solutions across sectors ?
3	Does the request contribute to a diversity and balance on the wide range of stakeholders engaged in adaptation?
4	Does the request contribute to a balance of technological related activities spanning the technology cycle.
5	Does the request integrate gender considerations and analysis in line with the updated CTCN Gender Policy?
<i>Insert total number of Yes:</i>	

76. Based on these criterias, the applications will be screened and ranked from the highest scores to the lowest in CTCN dedicated page specifically created for this AFCIA programme II. Pre-selected requests will be shared with CTCN Advisory Board, Adaptation Fund Board and UNEP Regional Offices for comments. CTCN will liaise with UNEP Regional Offices at this early stage of selection to build synergies and avoid duplications with other projects/programmes (if any) already implemented, under implementation or under discussion in the country. UNEP regional offices will also provide support to reach local stakeholders beyond NDEs through their networks.
77. Once pre-selected, the CTCN will organize meetings (virtual or in-person) with the NDE, DA, and project proponent (Activity 1.2.2) to have the chance to discuss the context, meet with the proponent, explain the procedures of the CTCN, raise questions related to the proposal, better understand the technology, its impact on gender and vulnerable communities and require / provide clarifications on any aspects relevant for the CTCN, the NDE, the project proponent of any other party involved. These discussions will enable to select 40 requests that could be moved to the implementation stage out of the best ranked requests initially pre-selected.
78. As the CTCN is mandated by the COP to be technology neutral, support under this output will be provided for a type of technology rather than a specific brand or offering. For example, the output would support the adaptation and marketing of different crop drying options rather than supporting a single company in the promotion of their product.
79. For each of the selected 40 projects, the CTCN will prepare a Response Plan and a Safeguard Risk Identification Form (SRIF). The Response Plan is the plan of action developed by CTCN experts in response to a country's request for technical assistance. It constitutes the Terms of Reference of the CTCN technical assistance that will be provided to the country, and it formulates the subsequent basis for the Monitoring & Evaluation (M&E) and its expected outcomes and anticipated impacts. The Response Planning process should be completed over a period of up to 30 working days (6 weeks). To encourage the mapping and engagement of the national innovation ecosystem as a part of the formal design requirements, a section will be added in the response plan template to request a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology.
80. The SRIF is developed during the identification and formulation of the project or programme, in alignment with the Adaptation Fund's Environmental and Social Management System (ESMS)<sup>25</sup> procedures. The SRIF rates the level of risks of the technical assistance as defined in Adaptation Fund's 15 principles, the Adaptation Fund ESP and ESMS. The SRIF also serves as a preliminary gender Assessment of the request. A more detailed gender assessment and

<sup>25</sup> [https://www.adaptation-fund.org/wp-content/uploads/2016/07/Manual-of-basic-ESMS-procedures-and-functions-at-NIE\\_April-2016.pdf](https://www.adaptation-fund.org/wp-content/uploads/2016/07/Manual-of-basic-ESMS-procedures-and-functions-at-NIE_April-2016.pdf)

respective GAP will be developed at implementation stage (as a mandatory activity to be undertaken by each selected Technical Assistance), and dully monitored yearly through the PPR and at closure through the closure report of the CTCN. At proposal stage, the SRIF is informed by in-country consultations and cleared by UNEP safeguards officer. Under AFCIA II, projects with low risks (Category C as per Adaptation Fund's ESMF) will be prioritized while project with high risks (Category A<sup>26</sup> according to AF ESMS) will not be selected. If medium risk (Category B<sup>27</sup> according to AF ESMS) would be identified, a management and /or gender action plan will be developed and approved at project level, using the AF ESP policy, to mitigate and monitor the risks during the project implementation. Adaptation Fund ESP policy is fully aligned with UNEP ESSMF, so is the UNEP SRIF with Adaptation Fund's 15 principles as reflected in Annex B. In compliance with the Adaptation Fund Environmental and Social Management System (ESMS), the delivery process for the ESP will include:

- an environmental and social risks identification through the SRIF
- An environmental and social assessment through the approval of the SRIF by UNEP Safeguard officer
- an environmental and social management planning for projects that would have been identified as medium risk (Category B as per Adaptation Fund's ESMS) by the SRIF or by the definition of mitigation measures for the low risks (Category C as per Adaptation Fund's ESMS) identified
- monitoring, reporting, and evaluation of the risks will be ensured yearly through the PPR
- public disclosure and consultation will be ensured by the CTCN during the formulation of the Response Plan and throughout the implementation of the technical assistance
- and finally, the establishment of a grievance mechanism that will be accessible through CTCN's website and communicated to the stakeholders during the inception workshop.

81. The CTCN delivers assistance to many countries and a broad range of sectors through a unique partnership model that leverages the expertise of its host UN agencies, along with a global network of over 700 academic, civil society, finance, private sector, and research institutions, as well as National Designated Entities from over 160 countries, to provide customized technology solutions. Fifty-four percent of network members come from non-Annex 1 country Parties, compared to 46% from Annex 1 country Parties. The private sector makes up nearly 50 percent of the Climate Technology Centre and Network, most of whom represent small and medium-sized enterprises where many innovative mitigation and adaptation technologies are being developed and adapted. Their largest sectoral areas of expertise include the following: renewable energy, energy efficiency, water, industry, infrastructure and urban planning, waste management and early warning and environmental assessment.

TABLE 7 - RESPONSE PLAN HIGHLIGHTS

**CTCN response plans**

To maximize the success and impact of the assistance provided by the CTCN and provide a baseline for an effective M&E process, the Response Plan should integrate as much as possible the considerations below:

Climate Technology focus: The Response Plan should have a clear focus on climate technologies, and identify activities that enable the identification, development, or diffusion of one or several

<sup>26</sup> Risk Category A as per Adaptation Fund's ESMF: Programme or projects with potentially significant adverse environmental and social impacts that are irreversible, cumulative, or unprecedented and /or which raise significant concerns among potentially affected communities and individuals. A

<sup>27</sup> Risk Category B as per Adaptation Fund's ESMF: Programme or projects with potential adverse environmental and social risks and impacts that are limited in scale, are not unprecedented or irreversible, and are generally limited to the programme or project area.

specific technologies (including equipment, techniques, knowledge and skills), as well as on security plans, conflict analysis and conflict sensitive implementation.

Barrier removal / Problem solving: The activities should contribute to address the specific problem or problems identified in the Request or through discussion with country counterparts. The barriers identified should be those hampering the deployment of one or several climate technologies.

Therefore, it may be necessary to limit the CTCN Response Plan to a set of activities for technical assistance commonly agreed with the NDE (and Proponent when needed) compared to the original request submitted. This might need discussion with country counterparts as sometimes the requests submitted lack identification of specific problems the CTCN can directly address.

workplan and stakeholder engagement strategy: The Response Plan should identify clearly how the products of the CTCN assistance will be used in the short term once support is delivered, by who and when, to ensure it will lead to specific impacts in the country. The activities should engage the stakeholders that will use the concrete results of the assistance to deploy the technologies, including from the private sector, the public sector, research institutions, etc. The objective will also be to ensure accountability of implementing partner toward the project proponents and the governments (NDE/DE) this strategy will define necessary consultations and clearance processes. CTCN will then ensure through the procurement processes that implementing entities keep a sufficient budget to support travels and other costs associated with the implementation this strategy.

Cost of the assistance provided by the CTCN cannot exceed 250,000 USD per Request. Therefore, it may be necessary to prioritize activities and limit the CTCN response plan to a set of priority activities commonly agreed with the Proponent and the NDE to remain under this value. A detailed budget is not required in the Response Plan as it will be finalized once the implementer(s) will be selected. However, it is important to provide estimations of resources needed to cover the CTCN assistance envisaged in the plan.

Synergies with existing efforts: The Response Plan should plan activities that are not already being fully supported or that are in the process of being fully supported by another national, regional or international organization. This also requires making sure the CTCN assistance is not duplicating past activities or if it is similar, that it is building on lessons learnt from these past activities. It is possible in the Response Plan to indicate co-financing from the government, the Request applicant or another stakeholder, that will maximize the effectiveness of the CTCN assistance.

Mapping and engagement of the national innovation ecosystem: a section will be added in the response plan template to request a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology.

82. Activities under this output will be based on countries' needs and may include:
- Activity 1.2.1 CTCN experts assess requests against established criteria of eligibility, prioritization, and balancing which includes gender as both balancing and prioritization criteria.
  - Activity 1.2.2: Stakeholder consultations with the project proponents, NDEs /DA to discuss the selected best ranked requests.
  - Activity 1.2.3: Selection of 40 concept notes.
  - Activity 1.2.4: 40 Response Plans and SRIFs are developed in collaboration with the NDE, Project Proponents, Adaptation Fund focal points and key stakeholders to the technical assistance and finally signed by the CTCN, the NDEs, Project Proponents and Adaptation Fund focal point. At this stage, all relevant stakeholders, including policy and decision makers, will be engaged to ensure that technology development and transfer can successfully take place and benefit the most vulnerable.

**Output 1.3 Promising Adaptation Innovations and Technologies are tested in developing countries and 40 exit strategies are formulated using NSI as a basis.**

83. As per the COP mandate and the guidance of the Advisory Board, the CTCN selects the partner for the implementation of the activities through the best available mechanism within the UN Framework or as per the guidance by the CTCN Advisory Board. Consortium partners of the CTCN can be directly recruited by UNEP. Network members need to be selected through a restricted solicitation process (or competitive bidding process) where only network members of the CTCN Network, are eligible to submit proposals. So that UNEP can readily evaluate desired attributes of potential consulting firms, key performance indicators will be analysed. Once the network partner of the CTCN would have been selected through the bidding process, as per UN Rules and procedures, a contract between UNEP and the awarded network partner will be signed before the technical assistance could be kicked off.
84. The target timeline from development of technical service to finalization of implementation of the technical assistance is 12 to 18 months. This implementation timeline ensures that innovations remain relevant and cutting edge. Throughout implementation, the CTCN will support Network members, proponents, NDEs and DAs in ensuring the quality of deliverables by providing review and expert guidance by our adaptation specialists in each region.
85. Throughout the implementation of the micro grants and as defined in the respective Response Plans, the network partners of the CTCN will be required to organize continuous meetings, workshops, capacity building, stakeholder engagements for women, youth, and future users of the innovative, transformative and locally led technology, as well as with policy and decision makers to ensure that technology development and transfer can successfully take place and benefit the most vulnerable. Community driven technological solutions often work because they are bottom-up and context-specific. And yet they can also have a transformational effect on a broader scale. To harness this, it is important to balance the need to pay attention to local specificity while also facilitating greater inter-connectedness and networking between groups and organisations. For this purpose, it is a common practice for the Technical Assistances implemented by the CTCN to initiate the implementation with the creation of a steering committee and the assessment of the regulatory environment and policies of the host country to identify possible issues that would need to be overpassed to ensure the future deployment of the selected climate adaptation technology.

The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template requesting a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology.

An in-depth assessment of the regulatory environment and existing policies and the identification of possible related issues will be then conducted during the first step of the implementation of the TA as part of the diagnosis of the current readiness of the respective host countries. Indeed, before analyzing the feasibility of a technology, or piloting it, it is necessary to understand the level of performance of the enabling environment.

86. The main stakeholders and corresponding institutional and/or organisational entities to be covered by the action include:
- Local Communities; this action will aim to strengthen the adaptation of the vulnerable communities to better cope with the climate change stressors thus increasing resilience, while boosting local climate change technological innovation.

- Most vulnerable groups including youth and women led initiatives and associations will be the main target beneficiaries as the priority of the action is to empower these groups and provide them with knowledge and skills to address local impacts of climate change and put forth their ideas.
  - National research and development institutions, innovation incubators; these beneficiaries hold the knowledge and know-how when it comes to market research, feasibility studies and scalable solutions. This action will aim to connect relevant national and local actors to facilitate fruitful cooperation and exchange of ideas.
  - Community led climate and environment related dispute mechanisms; the aim is to strengthen such mechanisms where they exist and help create new ones where they are lacking.
  - International and local civil society actors, national and local authorities and stakeholders such as private sector organisations as partners of direct beneficiaries; to be successful this action needs the cooperation of all the relevant stakeholders- civil society organisations play an important role to complement state led activities while the private sector brings its own added value and is an essential actor.
  - Policy and decision makers: Governmental agencies.
87. At the end of the implementation, the host country and communities should be able to install, operate and maintain the innovative, transformative and locally led climate technologies by themselves. To ensure that this goal is achieved, network partners of the CTCN will be requested, through the Response Plans and respective Terms of Reference, to offer adequate trainings and capacity building to beneficiaries of the technology.
88. Social consideration will be a key element of the project, to ensure that activities supported benefit livelihoods. Specifically, the project will deliver socio-economic benefits by promoting the capacity of indigenous peoples, local communities, women and youth.
89. The project impact is closely monitored through a well-functioning Monitoring and Evaluation (M&E) scheme at a pre- and post-implementation stage. Lastly, all CTCN projects are locally-led in nature as the CTCN operates on a demand-driven basis (projects are implemented upon request of a national entity), and requires partnering with local institutions for the implementation of activities to create ownership, promote knowledge transfer, and ensure effective stakeholder engagement on the ground. Closure reports that include both CTCN core and selected indicators as well as Adaptation Fund tracking tool indicators will be provided at project level (for each project) as well as at programme level (results of the implementation of the 60 microgrants).
90. Activities under this output::
- Activity 1.3.1: 40 network members or Consortium partners of the CTCN are contracted by UNEP to implement the selected technical assistances.
  - Activity 1.3.2: 40 innovative, transformative and locally-led technologies are tested in at developing countries.
  - Activity 1.3.3: Monitoring and Evaluation of the impact at project and programme level is made.

**Acceleration Phase – Component 2 – Innovative, transformative, and locally led climate adaptation technologies are scaled up**

91. The acceleration phase will scale up 10 innovative, transformative, and locally led technologies out of the 40 tested under Outcome 1. The objective of this Outcome will be to

build on the results of Outcome 1 to move one step further in the deployment of the technology analysed. This could mean:

92. **Piloting a technology analysed during Outcome 1:** It is possible that a country would request support in analysing the feasibility of using one specific technology in its local context and to design the architecture of the system. In this case, the outcomes of the micro-grants, under Outcome 1, would be a feasibility analysis confirming if the technology would be applicable in the selected area of the host country and what would be the architecture of the system. In this case Outcome 2 will be used to pilot the system and thus move to the demonstration stage of the technology.
93. One concrete example could be the AFCIA I project implemented in Mozambique by which the country wanted to analyse the possibility to implement a Solar Pumping Irrigation System and a "pay as you irrigate" model in Mubobo province. The main outcome of this micro-grant will be a detailed feasibility analysis and a "pay as you irrigate" model. But no solar powered irrigation (SPIS) would be deployed at this stage, and the business model, although theoretically approved and endorsed by the farmers and the relevant governmental institutions could never be tested because of a lack of budget and time. Outcome 2 of AFCIA II, will offer the possibility for the country to pilot the designed technology and business model defined under Outcome 1 and have a real demonstration of their use and effectiveness within a community of farmers. Outcome 2 will offer the opportunity to overcome potential challenges and demonstrate that the business model is well suited to the local context.
94. **Endorsing or implementing an Enabling Environment instrument:** It is possible that a country will request support, under Outcome 1 to develop an enabling environment tool (a policy, a digital platform, a business model, a transparency mechanism, a framework or else). Due to the size of the micro-grants (up to 250,000 USD) and their duration (up to 18 months), the country doesn't always manage to fully endorse and implement the new enabling environment instrument. Outcome 2 has been designed to enable countries to move one step forward to the application of the new mechanism.
95. The case of Thailand can be used as a concrete example of this context. Thailand has requested support to AFCIA I in order to analyse the feasibility and viability of using Blockchain Technology for a real-time climate risk insurance system in Thailand's agricultural sector. The results of AFCIA I will be a roadmap to support the national stakeholders in the subsequent steps of developing, testing and implementing such a blockchain-based product beyond this technical assistance. With Outcome 2 of the new AFCIA II programme, the country will have the opportunity to implement this roadmap immediately after conclusion of the feasibility study, when there is still traction from the stakeholders.
96. **Developing complementary tools requested to ensure the optimal use of the tested technology:** The possibility exists that a country would request funding to develop and pilot climate adaptation technologies, such as an early warning systems, a meteorological platform, a water management technology for example that could be developed as part of Outcome 1 but not used at their full potential because to be used efficiently the technology should be supported by another complementary tool.
97. Many examples can be provided from the experience of AFCIA I such as the water management barrier implemented in Burundi that would be used even more efficiently if it could be supported by an early warning system for floods, or the customized weather and climate information system for climate resilient agriculture in Nepal that could be more efficient if data collected on site would be more accurate. Outcome 2 of this program could support the implementation of these complementary activities to make sure that the main technology developed under Outcome 1 would be use efficiently.

98. The acceleration Outcome can thus include piloting of technology that would reach the feasibility stage under Outcome 1, designing the instruments that would support an effective and optimized use of the technology as well as support the enabling environment necessary for new innovations to deliver concrete adaptation outcomes.

#### **AFCIA I baseline and lessons learnt.**

99. AFCIA I, offered the possibility to work either under the Acceleration or the Enabling Environment component. The maximum budget of 250,000 USD only enabled to reach one major outcome, that could be a feasibility analysis, the formulation of an enabling environment, or the piloting of a specific technology at small scale. Thus, some technologies that had demonstrated, through a feasibility assessment, that they could be implemented in the selected country and selected area could not be piloted because of the budget restrictions. Same happened to enabling environment instruments that have been designed under AFCIA I but could not be tested in the local context because of the budget restrictions.
100. Considering the increase in value of AFCIA II programme, UNEP CTCN suggests using Component 2 to push the innovation one stage further in the innovation cycle to ensure that technologies that would have been considered as feasible in the context of the host country could be scaled up. Under AFCIA I's MTR, it was recommended that AFCIA II should:
- Employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models
  - Encourage projects to design and pursue exit strategies, including the identification of additional financing options.
101. 12-18 months of implementation is a relevant period to confirm country's involvement, stakeholder's participation and rate the level of importance of the technology assistance for the country. Only projects that will have received a strong traction from the country will be moved to Component 2.

#### **Proposed approach for AFCIA II**

102. Output 2.1 will scale up acceleration grants (up to 10 out of the 40) deployed under Component 1 through additional funding.
103. While AFCIA I was offering the possibility to work either on the acceleration or the enabling environment component, AFCIA II, through the additional funding available, will offer the possibility to accelerate 40 climate adaptation technologies (Component 1), scale up micro-grants (up to 10) under Output 2.1 and then leverage up to 10 micro-grants under Component 3. Technologies will be either deployed (if they had only reached the feasibility analysis under component1), reinforced to ensure their effective use (in case the effective use of the technology would request additional components to be added such as Early Warning systems or data collection) or supported by an sustainable and operational enabling environment (such as a financial model). In order to provide solutions to the recommendations raised during the MTR of AFCIA I, the following suggested measures are proposed and have been integrated into the proposal:

**TABLE 8 - RECOMMENDATIONS FROM AFCIA I'S MTR AND SUGGESTED MEASURES UNDER UNEP CTCN AFCIA II- OUTCOME 2**



#	MTR conclusions	MTR recommendations	AFCIA II responses
1	<p>There have also been demonstrated success in leveraging additional support, namely additional government, or grant funding, for some of the introduced technologies. Nevertheless, going to market remains a challenge for adaptation innovations</p>	<p>Employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models</p>	<p>Business models and private finance will be promoted by AFCIA II programme through outcome 3, output 3.1 focused on the establishing/strengthening National Systems of Innovations for 10 successful adaptation technologies / innovation tested by AFCIA with additional TA of 80,000 USD each. This will include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling environment for future scale up and broad adoption of the adaptation technology/innovation. Please, refer to paragraph 22,113,120.</p> <p>In addition, the coordination services proposal is being revised to integrate the creation of regional hubs involving R&amp;D institutions, private sector for investment facilitation as well as other key stakeholders for the acceleration process. Those hubs will be organized at regional level with the aim of attracting private sector finance to successful technologies (see table 14)</p>
2	<p>Inherently, the AFCIA interventions provided technical assistance and were “pilot” in nature, requiring further systemic change, copying and replication and notably concessional financing to further and sustain their impact.</p>	<p>Encourage projects to design and pursue exit strategies, including the identification of additional financing options.</p>	<p>AFCIA II reflects that project proponents will be strongly encouraged and guided to integrate the elaboration of an exit strategy as one key activities of their technical assistances to ensure that the deliverables produced will be shared and used by all relevant stakeholders and that additional financing options are identified to support scaling up of the successful adaptation technology/innovation.</p> <p>Please refer to paragraph 145.</p>

104. Thus, micro-grants selected under Component 2 would receive up to USD 350,000 USD (up to USD 250,000 under Component 1 and additional USD 100,000 maximum under Component 2) to scale up the initiative.

**Output 2.1: 10 promising innovative, transformative, and locally led adaptation technologies are scaled up.**

105. It is expected that after receiving appropriate technical and financial training, 10 out of the 40 micro-grants assessed under the Component 1 will be scaled up after project completion.

106. The selection of the 10 micro-grants that should be demonstrated would be made based on the following (but not limited to) criteria:

- The component 1 has been implemented successfully and the feasibility assessment demonstrates that the innovative, transformative, and locally led technology has positive and quantifiable impact based on the CTCN M&E and closure reports as well as the result tracker defined for this specific AFCIA II programme.
- The NDE, NIE, DA, and other national and local stakeholders have proactively been engaged during the implementation of Output 1.3
- A written communication from the NDE and or the NIE/DA has been received by the CTCN by which the host country and beneficiary of the micro-grant officially request the demonstration of the technology.
- Output 1.3 would have focused on the development of a detailed pre-feasibility without official testing or piloting of the technology or
- The technology has been tested under Output 1.3 in one specific area and the host country would like to test it in another region, other climatic – geographical – social- economical context.
- Technical Assistances that were developed under AFCIA I will be allowed to present a new request under AFCIA II to go one step further in the demonstration process or the improvement of their NSI.

107. Once the 10 projects would have been selected, the scope of the demonstration or scale up will need to be defined. This will include:

- Stakeholder consultations with NDE, NDA, NIE, project proponent(s) and key stakeholders including beneficiaries/end users and most vulnerable groups, as well as policy and decision makers.
- Defining expectations, objectives, results, and main achievements
- CTCN to define a new Response Plan for the demonstration activities.
- Response Plan, and only if relevant updated SRIF, to be reviewed by NDE, NDA, NIE, project proponent(s) and key stakeholders (up to 3 rounds of comments)
- Final response plan to be signed by NDE, project proponent(s) and CTCN.
- Finally, a new contract will need to be issued either to the same network partner of the CTCN in charge of the implementation of the Output 1.3 or to another network partner through the launch of a new bidding process.

108. Activities under this output will include:

- Activity 2.1.1: Selection of 10 micro-grants out of the 40 tested to be scaled up.
- Activity 2.1.2: Definition of the new scope for each of the 10 selected technologies.
- Activity 2.1.3: Contracts with implementers are renewed or new bidding process is initiated to select a network partner of the CTCN.

- Activity 2.1.4: Selected 10 technologies are demonstrated.
- Activity 2.1.5: M&E of the 10 demonstrated technologies using CTCN M&E/closure reports and AF Tracker results.

**Acceleration Phase – Component 3 - Innovative, transformative, and locally led adaptation technologies are leveraged through the establishment of enabling environments (NSI), finance and knowledge.**

109. IPCC states that ‘Policy packages tailored to national contexts and technological characteristics have been effective in supporting low-emission innovation and technology diffusion. Public policies can support training and R&D, complemented by both regulatory and market-based instruments that create incentives and market opportunities’ (IPCC AR6 SYR SPM C7.5, p36).
110. The actions and activities of the technology framework<sup>28</sup> include ‘Supporting countries in incentivizing innovation by improving the policy environments, strategies, legal and regulatory frameworks, and institutional arrangements for establishing and/or strengthening their national systems of innovation’. The National Systems of Innovation (NSI) is included as a component of common areas of work of Technology Executive Committee and CTCN under the Joint Work Programme of the UNFCCC Technology Mechanism for 2023–2027.
111. Component 3 will support the establishment of an enabling environment for the technology tested under Component 1 and maybe scaled up under component 2 through:
  - Enchoring the technologies within a National System of Innovation
  - Additional finance leveraged by the formulation of up to 3 concept notes
  - Transversal and continuous knowledge and learning and sharing.

Collaboration and knowledge sharing are central pillars of the CTCN. The CTCN aims to reinforce the capacity of countries to facilitate information-sharing, collaboration, and networking. This will enable the exchange of best-recommended practices, experience and knowledge on technology development and transfer and endogenous technologies. This also involves strengthening the capacity of countries and communities to be more resilient and to cope better, in terms of skills and the ability to access suitable finance for scale-up and replicative actions. This will build on the CTCN’s existing efforts to implement gender mainstreaming in all its activities (guided by its Gender Policy and Action Plan) and its capacity-building and mentoring support system. The CTCN has reviewed its Gender Policy and Action Plan in 2023. Gender Principles defined in the Adaptation Fund’s gender policy are now fully integrated in the revised CTCN gender policy<sup>29</sup>.

**AFCIA I baseline and lessons learnt.**

AFCIA I supported 10 micro-grants under the Enabling Environment Component but did not have a specific focus on National Systems of Innovation. Under AFCIA I, scaling up of the activities were made through the formulation of 2 Concept Notes under the Innovation window as large grants projects. This approach was successful (hence replicated under AFCIA II) and it is likely that at least one project will manage to leverage additional funding from the Adaptation Fund Innovation Programme to scale up the initiative by covering a larger geographical territory and a most efficient technology (complementary instruments will be built).

The MTR of AFCIA I, raised the following recommendations to be considered under UNEP CTCN AFCIA II proposal:

- Encourage projects to design and pursue exit strategies, including the identification of additional financing options.

<sup>28</sup> [https://unfccc.int/sites/default/files/resource/cp24\\_auv\\_cop\\_4\\_TF.pdf](https://unfccc.int/sites/default/files/resource/cp24_auv_cop_4_TF.pdf)

<sup>29</sup> [https://www.ctc-n.org/sites/www.ctc-n.org/files/AB2023.22.24\\_Draft\\_CTCN\\_Gender\\_Policy\\_and\\_Action\\_Plan.pdf](https://www.ctc-n.org/sites/www.ctc-n.org/files/AB2023.22.24_Draft_CTCN_Gender_Policy_and_Action_Plan.pdf)

- There is a need to think through how AFCIA will affect change and promote innovation.
- AFCIA II should employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models.

112. With regards to knowledge management, the approach under AFCIA I mainly focused on post implementation perspective with the identification of lessons learnt, the preparation of technology factsheets, the dissemination of success stories. One of the lessons learnt is the need to further communicate and build capacity from the very start of the programme. Only if the programme is well understood and countries agree on the role of climate technologies would good quality requests be received.

**Proposed approach for AFCIA II**

113. Under AFCIA II, the leveraging of the technologies is expected to happen through the formulation of concept notes, following the same route as the one implemented under AFCIA I, as well as through two additional mechanisms:

- The establishment or improvement of the National System of Innovation of the country as an instrument useful to anchor the technology within an enabling environment. NSI will be used to influence the decision making of the countries on a systemic level and develop enabling environment tools. NSI will thus take different forms depending on regional and local contexts. Strengthening the NSI of developing countries include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling environment.
- The implementation of innovative and cooperative tools to support the knowledge sharing outcome such as the use of Public Digital Goods amongst other instruments.

To address the recommendations raised under AFCIA I’s MTR, the following actions are suggested to be implemented under UNEP CTCN AFCIA II proposal:

**TABLE 9 - RECOMMENDATIONS FROM AFCIA I’S MTR AND SUGGESTED MEASURES UNDER UNEP CTCN AFCIA II- OUTCOME 3**

#	MTR conclusions	MTR draft recommendations	AFCIA II responses
1	Demonstrated success can be demonstrated in the capacity of the projects to leverage additional support, namely additional government, or grant funding, for some of the introduced technologies. Nevertheless, going to market remains a challenge for adaptation innovations.	Employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models.	Business models and private finance will be promoted by AFCIA II programme through outcome 3, output 3.1 focused on the establishing/strengthening National Systems of Innovations for 10 successful adaptation technologies / innovation tested by AFCIA with additional TA of 80,000 USD each. This will include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly

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			<p>contributing to creating a business enabling environment for future scale up and broad adoption of the adaptation technology/innovation. Please, refer to paragraph 22,113,120.</p> <p>In addition, the coordination services proposal is being revised to integrate the creation of regional hubs involving R&amp;D institutions as well as other key stakeholders for incubation of innovative ideas, improvement of proposals and sustainability of selected technologies in the different targeted countries. Those hubs will be organized at regional level with the aim of attracting private sector finance to successful technologies</p>
2	Inherently, the AFCIA interventions provided technical assistance and were “pilot” in nature, requiring further systemic change, copying and replication and notably concessional financing to further and sustain their impact.	Encourage projects to design and pursue exit strategies, including the identification of additional financing options.	<p>AFCIA II reflects that project proponents will be strongly encouraged and guided to integrate the elaboration of an exit strategy as one key activities of their technical assistances to ensure that the deliverables produced will be shared and used by all relevant stakeholders and that additional financing options are identified to support scaling up of the successful adaptation technology/innovation.</p> <p>Please refer to paragraph 145.</p>
3	There are limited formal Adaptation Fund and hence CTCN requirements for a Theory of Change/programme logic at the overall fund level or subsequently for individual projects and these logics remain focused on the identification and implementation of individual, technology projects.	There is a need to think through how AFCIA will affect change and promote innovation, so that it can be managed accordingly. AFCIA II, also at the individual project level would substantially benefit from a more detailed definition how it seeks to promote innovation, with related objectives, intermediate outcomes, related change mechanisms and causal relationships, as well as notably, underlying assumptions, for example, through a theory of change process. While a theory of change has been developed for AFCIA II, the supported projects are repeated at different levels of the logic, including at the goal	<p>A Problem Tree and Theory of Change have been added to the AFCIA II proposal (see figure 1 and Annex E). In addition, for the second phase of AFCIA a section will be added in the response plan template that will request a preliminary assessment of the existing national innovation system to highlight how change brought by the proposed adaptation innovation or technology can be promoted and sustained. Please refer to paragraphs 79 and 81 of the proposal.</p>

		level (see duplication of the goal statement and outputs 1.3 and 3.1. in particular), focusing attention on the fund management process rather than innovation itself or adaptation and resilience impacts.	
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114. According to IPCC AR6 SYR SPM C7.5, p36, “Policy packages tailored to national contexts and technological characteristics have been effective in supporting low-emission innovation and technology diffusion. Public policies can support training and R&D, complemented by both regulatory and market-based instruments that create incentives and market opportunities”. This is why UNEP CTCN suggests to integrate National Systems of Innovation (NSI) as a pillar to the AFCIA II programme. The NSI can help to solve barriers such as the lack of coordination between different institutional entities, it supports collaboration between universities, industry, R&D institutions and government, it centralizes information into one unique platform leading to transparency and strong governance practice. The NSI is a core component of the common areas of work of TEC and CTCN under the Joint Work Programme of the UNFCCC Technology Mechanism for 2023–2027. Consequently, AFCIA II programme could benefit from CTCN’s growing experience on that field to strengthen the impact of the micro-grants and ensure that countries put in place the needed enabling environment that will support the sustainable deployment of the technology.
115. Also, digitization has been defined as one of the 2 enablers of the new Programme of Work of the CTCN. Aligned with this new mandate, CTCN proposes to focus on digital solutions which drive resilience in communities. In this regard, CTCN could promote access to digital public goods (such as freely available and open- source software, data, and standards) that will enable the design of policies, that supports climate risk assessments, planning for adaptation and resilience at country level, and informing climate investment decisions. By reflecting digitalization in AFCIA II, the programme builds on IPCC’s call (AR6) to *‘deliver services in more efficient, timely, intelligent, and less resource-intensive ways using increasingly interconnected physical and digital systems in many facets of economies.*
116. Thus, micro-grants selected under Component 3 – output 3.1 would receive up to USD 430,000 USD (up to USD 250,000 under Component 1, additional USD 100,000 maximum under Component 2 to scale up the initiative and an additional USD 80,000 maximum to linking the technology to the NSI).

**Output 3.1 National Systems of Innovation for 10 adaptation technologies are established or improved in developing countries.**

117. The CTCN acts as a matchmaker in the establishment of National Innovation Systems (NSI) in developing countries by considering contribution of its three components: actors, institutional contexts, and linkages (WJ Lee & R Mwebaza, Sustainability, 2020) :
- Actors: Organizations that participate in technology development and transfer, e.g. technology firms, universities and financiers;
  - Institutional context: Norms, cultural practices and laws that shape actor efforts, e.g. government policies that affect how the private sector invests in a particular sector;
  - Linkages: Interactions and relations between the actors and the institutional context, e.g. flows of information and knowledge, and collaboration between firms, universities and

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research institutions". (UNFCCC TEC Brief #7, Strengthening National Systems of Innovation to Enhance Action on Climate Change, 2015)

118. Technology Executive Committee (TEC) Brief states that strengthening NSIs requires three key complementary actions:
- Develop the fundamental elements: (i) build a strong education system, (ii) invest in research, development and demonstration (RD&D) and (iii) implement enabling policies (including to support market creation);
  - Focus on specific climate technologies that help to meet national climate and development priorities;
  - Build strategic and coordination capabilities of play of national actors.

119. The concept of national innovation systems (NIS) is defined as a "network of institutions in the public and private sectors whose activities and interactions initiate, import, modify and diffuse new technologies"<sup>30</sup>. At the core of the concept is the understanding that innovation, technical and economic progress are the result of a complex set of relationships among actors producing, distributing and applying various kinds of knowledge. The private sector will be incentivized through the NSIs to become a key actor of change in supporting the creation, adoption and dissemination of climate adaptation technologies and likewise reaching the objectives of AFCIA II. This is especially true at development stage of the technology as private sector can help to collect information about how and under what conditions the technology will be used (which affects product specification). Private-sector entities will also be engaged during the demonstration phase by CTCN and its network partners.

The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template requesting a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology

120. Countries' capabilities to drive and enable climate technology innovation are determined in part by the effectiveness of its national system of innovation (NSI). A country's capabilities to implement and benefit from technological change are shaped by the strength of its NSI and its linkages with international innovation activities and systems. NSI varies across countries, reflecting economic, social, and political differences, and is shaped by historical, cultural, and institutional factors. Effective NSI can help to spur economic growth, increase competitiveness, and create new employment opportunities. Strengthening the NSI of developing countries include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling environment.
121. Under this output, the CTCN will support the development of national systems of innovation to foster collaborative approaches to climate technology research, development, and demonstration (RD&D) for 10 innovative, transformative and locally led adaptation technologies and promote relevant enabling policies to incentivize and nurture a supportive environment.
122. The CTCN will aim to provide technical assistance to countries to enhance their national systems of innovation through approaches that include support for policy, institutional and regulatory framework development and planning processes, and the advancement of technology transition pathways that stimulate the uptake of climate technologies, for the 10 most promising innovative, transformative and locally led adaptation technologies.

<sup>30</sup> <https://www.oecd.org/science/inno/2101733.pdf>

123. The CTCN will establish effective mechanisms, enhanced means, create appropriate enabling environments and work on the removal of obstacles to the scaling up of the development and transfer of the 10 most promising innovative, transformative and locally led adaptation technologies through the establishment or improvement of the NSI of the respective host countries. The 10 projects could be either the 10 projects piloted under Component 1 or other projects assessed under Component 2.

124. The selection of the 10 micro-grants that should benefit from the empowered NSI will be done through a selection process based on but not limited the following criteria:

- The assessment done under Component 1 has demonstrated the feasibility of the technology.
- The scale up process (if applicable) made during Component 2 has been successful.
- The host country wants to deploy technology at larger scale and need to create appropriate conditions for the creation of a national market.
- The host country shows commitment, and has the structure in place to develop/strengthen the NSI timely.
- The CTCN, UNEP, the Adaptation Fund, NDE and NIE/DA if applicable, agree that establishing a NSI would be beneficial for the uptake of the technology.
- Technical Assistancess that were developed under AFCIA I will be allowed to present a new request under AFCIA II to go one step further in the demonstration process or the improvement of their NSI.

125. The maximum budget for this activity will be of 80,000 USD for each selected micro-grants. (Please refer to Annex D). The expected impact of this output will be to:

- Strengthening countries' capabilities to drive and enable climate technology innovation.
- Supporting countries in incentivizing innovation through policy, institutional and regulatory development.
- Providing opportunities to lower emissions growth, create social and environmental co-benefits, and achieve other SDGs.

126. Activities under this output will be include:

Activity 3.1.1: Selection of 10 micro-grants out of the 40 tested under Component 1 to be leveraged.

Activity 3.1.2: Formulation of Response Plan for each of the 10 selected technologies.

This activity could include:

- The evaluation of the national innovative environment for climate action
- The development of a framework and roadmap for the establishment of a National Innovation System
- The introduction of institutional innovation support schemes such as the concept development of an innovation support agency.
- The introduction of schemes to enhance innovation capacity through the development of innovation communication and capacity building strategy and plan for example, or the development of a web-based platform on innovation.
- For countries that would already have a NSI in place, the activity could focus on improving the existing NSI to integrate the results achieved during the implementation of Component 1.

Activity 3.1.3: Contracts with implementers are renewed or new bidding process is initiated to select a network partner of the CTCN.

Activity 3.1.4: NSI for the selected 10 technologies is established or improved.

Activity 3.1.5: M&E of the 10 demonstrated technologies using CTCN M&E/closure reports and Adaptation Fund Tracker results.

**Output 3.2. Concept notes are formulated and submitted to the Adaptation Fund to secure additional funds for promising adaptation innovations and technologies.**



127. Scalable bankable projects that target Adaptation Fund and UNEP/CTCN's priorities/mandates, including Agriculture and food security; Disaster risk reduction and early warning systems; Forests and land use management; Innovative adaptation financing; Local traditional ecological knowledge solutions, including harnessing or revival of indigenous, traditional solutions; Marine, fisheries, and oceans adaptation; Nature-based solutions, including ones that are biodiversity-supporting, in various settings (e.g. urban, peri-urban and non-urbanized); Urban adaptation and Water management, and deliver quantifiable climate adaptation benefits will be selected by UNEP and CTCN to be scaled up through the preparation and submission of up to 3 concept notes (CN). The concept notes will enable the country to leverage up to 5 million USD per project under the Innovation Window for Large projects of the Adaptation Fund. Following the implementation of the component 1 (Innovative, transformative, and locally-led climate adaptation technologies are identified, assessed, and tested), component 2 (Innovative, transformative, and locally-led climate adaptation technologies are scaled up), and component 3 – Output 3.1, the project will have demonstrated the impact of the technology at small scale and will benefit from a favourable NSI. The additional funding will support the country in replicating the initiative at national level, and even so, if relevant, at multi-country (regional) scale. Concept notes will be formulated for the most promising technical assistances developed under AFCIA II, those could be single countries or multi-country (regional) if several countries have introduced similar adaptation innovations / technologies. For successful single country concepts, the CTCN could use its matchmaking mechanism to support the formulation of the full proposal. For regional proposal concept, preparation fund could be requested to the AF.
128. Once the technology concept has passed this selection, the CTCN will contract an external consultant, specialized in the required sector / technology, to support the CTCN to formulate a concept note to the Innovation Programme of the Adaptation Fund. The Concept note will be used to confirm the interest of the Adaptation Fund in financing the detailed design phase (and potentially the implementation) of the presented concept. The Concept Note will be submitted to the Adaptation Fund.
129. The development of the concept notes will follow the 2-phased methodology described below.

#### Phase 1: Development of Project framework

- Develop project ideas through consultations with CTCN, Adaptation Fund's Country Focal Point, NDE of the country, other relevant stakeholders.
- Undertake pre-feasibility analysis and studies to clearly articulate the project concepts which can be used to develop viable concept note.
- Submit pre-feasibility analyses and studies and the proposed project concept to CTCN for review. The objective of developing the pre-feasibility study is to clearly define the scope of the project (areas of intervention), estimated adaptation impacts with robust analysis supporting the data. The pre-feasibility study will be used to develop the concept note with the Country and the Designated Authority.

#### Phase 2: Development of a concept note for the Adaptation Fund Innovation Program

- Working closely with identified Designated Authority of the Adaptation Fund, develop a draft concept note engaging closely with CTCN and the NDE, and key stakeholders, including policy and decision makers to ensure that technology development and transfer can successfully take place and benefit the most vulnerable. The DA will also have a preponderant role to endorse the concept notes that will be developed under output 3.2. For those concept notes, a letter of endorsement will be requested from the DA and copies shared with the secretariat along with the concept note during the submission process.
- Submit the draft concept note and to the CTCN, DA, NDE for review and inputs.
- Secure feedback and incorporate the changes suggested in the draft concept notes, and

- Seek acceptance and approvals for the prepared draft concept notes from CTCN, DA, NDE and UNEP.
  - Submit final CN to the Adaptation Fund before the deadline defined by the Adaptation Fund.
  - Get feedback from the Adaptation Fund and incorporate the same in the concept note.
  - Obtain formal clearances and approval by Adaptation Fund.
130. Activities under this output will include:
- Activity 3.2.1: Selection of micro-grants to leverage additional funding.
  - Activity 3.2.2: 3 Concept notes are developed and submitted to the Adaptation Fund

**Transversal capacity building, and knowledge sharing phase.**

**AFCIA I baseline and lessons learnt.**

131. Outcome 1, output 1.1 will also support this transversal and knowledge sharing phase. This output is described under paragraphs 66-71. As per the MTR of AFCIA I, the following recommendations were raised to be considered for UNEP CTCN AFCI AII:
- Support global efforts to consolidate and harmonise key performance indicators and increase their coherent use at the level of AFCIA and individual projects.
  - Strengthen monitoring expectations (e.g. through reporting) and especially learning processes and opportunities in phase II of AFCIA
  - Considering the substantial efforts globally to promote climate change innovation, including the promotion of more systemic efforts, instead of isolated, single, technology-driven initiatives, there are opportunities, also through the AFCIA II Coordination function, for greater coordination between the Adaptation Fund Secretariat, UNEP, CTCN, UNDP and other similar efforts promoting adaptation innovation globally, notably around learning and knowledge management
  - In the framework of global efforts to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives promoting innovation
  - While the government should retain ownership and strategic leadership, it would be critical that the ideation process already includes knowledge flow, competition and iteration of ideas in the context of the national innovation system through the knowledge helix” of government, academia, industry, and civil society. The relevance of different modalities, whether a micro-grant aggregator, challenge fund or another, more systemic approach needs to be further explored with implications for the targeted innovators, size of individual grants, as well as the project identification process (e.g. distribution of the call or earlier engagement with the targeted innovation ecosystem in country).
  - Explore opportunities for shared learning with similar programmes; also with UNDP
  - Strengthen monitoring expectations (e.g. through reporting) and especially learning processes and opportunities in phase II of AFCIA I and ringfence related resources for AFCIA II

**Proposed approach for AFCIA II**

To address the recommendations raised under AFCIA I ´s MTR, the following actions are suggested to be implemented under UNEP CTCN AFCIA II proposal:

**TABLE 10- RECOMMENDATIONS FROM AFCIA I ´S MTR AND SUGGESTED MEASURES UNDER UNEP CTCN AFCIA II- TRANSVERSAL OUTCOME**

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#	MTR preliminary conclusions	MTR draft recommendations	AFCIA II responses
1	<p>Despite the SRIFs requirement, a gender focus was presumed/taken for granted, rather than actively pursued in individual projects.</p>	<p>In addition to increasing gender assessment, gender-specific programming, improved disaggregation of indicators and assigning greater resources (both staff and budget) to gender mainstreaming, ensure the key stakeholder also understand the value of these efforts.</p>	<p>Gender will be more actively pursued in UNEP CTCN AFCIA II proposal through:</p> <ul style="list-style-type: none"> <li>- A mandatory gender assessment and its respective GAP will be included as a mandatory activity in each Technical Assistance</li> <li>- At least 5% of the full technical assistance budget allocated to gender mainstreaming activities.</li> <li>- Gender has been added, during the last CTCN AB meeting, as both a balancing and prioritization criteria of the technical assistance's selection process.</li> <li>- Gender related indicators of closure report have been amended to ensure strong M&amp;E on gender mainstreaming in the technical assistances following last CTCN AB meeting in September.</li> </ul> <p>Please, refer to paragraphs 75 and 162 and table 15 of AFCIA II proposal. Paragraphs 80,162,187 and 208 also make reference to these gender measures.</p> <p>AFCIA coordination services will ensure coordination between the Adaptation Fund Secretariat, UNEP, CTCN, and AFCIA windows managed by other Implementing Entities (IEs)</p> <p>AFCIA Coordination Services shall reflect the need to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives supporting innovation.</p>

4	<p>Opportunities still remain to increase coordination among the various international actors promoting climate change innovation, including the promotion of more systemic efforts, instead of isolated, single, technology-driven initiatives. Coordination among various climate change interventions at the country level is an issue, as NDE is not always the ministry/department/individual responsible for implementation or for overall coordination.</p>	<p>There are opportunities, also through the AFCIA II Coordination function, for greater coordination between the Adaptation Fund Secretariat, UNEP, CTCN, UNDP and other similar efforts promoting adaptation innovation globally, notably around learning and knowledge management (also around shared systems such as solar powered irrigation systems).</p> <p>AFCIA may also benefit also from a more explicit definition of innovation.</p> <p>In the framework of global efforts to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives promoting innovation.</p>	<p>AFCIA II has a transversal capacity and knowledge sharing phase including output 1.1. on the development and implementation of an outreach and capacity building plan and output 3.3 focused on building knowledge and capacity through digital public goods.</p> <p>Please, refer to the section: Detailed description of the Programme outcomes, and outputs.”</p> <p>AFCIA II will be strengthened to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.</p> <p>Please refer to paragraphs 136, 143,145,149,,178.</p> <p>The M&amp;E and closure indicators have been reviewed during the AB Meeting in Bonn in September 2023, and some amendments have been approved on gender mainstreaming and will be used for all new AFCIA I and all AFCIA II projects. The M&amp;E and closure indicators as well as the eligibility / prioritization and balancing criteria are also under review and will be discussed during COP28 along with some additional changes on the M&amp;E and closure report. One of the main reflections is about how the CTCN could continue to monitor the impact post-implementation (and report on possible leveraging /scale up opportunities)</p> <p>Please, refer to paragraph 162.</p> <p>AFCIA coordination services proposal shall enhance coordination, management and monitoring to support programme implementation and performance as well as promoting communication and knowledge management to support visibility and information sharing on the programme</p> <p>AFCIA coordination services proposal shall establish joint Monitoring and Evaluation framework to support standardized reporting of impact and facilitate comparison across the AFCIA II</p>
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			<p>programme managed by different implementing entities.</p> <p>Finally the coordination services project will also support the development and validation of a common definition of adaptation innovation by the AFCIA II project steering committee (PSC).</p>
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**Output 3.3 Knowledge and capacity on adaptation technologies through Digital Public Goods, amongst other instruments, is built. Consolidation of Key Performance indicators is ensured.**

- 132. Capacity Building and knowledge transfer will be disseminated through a transversal and continuous output (Component 3 – Output 3.3). This output will be dedicated to raise awareness on the results achieved by the programme and each micro-grants and to ensure continuous and broader capacity building and knowledge transfer is achieved. Digital public goods, as well as other instruments, will be made available globally for the broader learning and sharing, and potential replication of climate adaptation technologies.
- 133. UNEP CTCN believe that to unlock a more equitable world, a global effort is needed to encourage and invest in the creation of digital public goods<sup>31</sup>: open-source software, open data, open artificial intelligence models, open standards and open content, or any other digital assets freely available. This has the potential to scale up digital tools, enable improved policy making, promote climate resilient pathways, increase resilience, and inform climate investment decisions. Such initiatives will be tested under this AFCIA II programme.
- 134. The compelling data, key findings and success stories will be identified collected and compiled under different appropriate reader friendly material and published under different languages (English, French and Spanish) and used for further communication. The data, findings and messages will be tailored so that they are easily accessible and can be readily explained to all the distinctive components of the target audience, including the different types of stakeholders and partners and the broader public. The programme dashboard on the CTCN website will be used to share such information with external audiences and stakeholders.
- 135. Latest project information and reports will be populated in CTCN and UNEP websites, external audience will be reached out with key updates through newsletters, articles, emails, linkedIn, facebook, twitter notifications and any other relevant social media channels, online and in person events in the margin of relevant international conferences will be organized to share experience and good practice. A described plan will be prepared under Component 1 as part of the Communication and outreach strategy and capacity building plan.

<sup>31</sup> <https://www.un.org/techenvoy/content/digital-public-goods>

136. Throughout the implementation of the AFCIA II programme, it is expected that the following actions will be undertaken:

- Identify lessons learned (at least 5) and provide guidelines a replicable approach to promoting innovative, transformative and locally-led climate adaptation technologies
- Organize at least one knowledge transfer workshop or regional workshops based on what seems relevant, with all selected project proponents to exchange on their experience, lessons learnt and way forward
- Organize online and in person events in the margin of relevant international conferences such as the Regional Climate Weeks every year.
- External audiences will also be involved through Digital Public Goods and platforms. Digital Public Goods and platforms are defined as a freely available and open- source software that can be as an instrument to spread widely learning and sharing on adaptation technologies.
- Formulate at least 5 project (success) stories that could demonstrate gender empowerment
- Develop up to 3 technology factsheets.
- Evaluate the engagement of communities through indicators at technical assistance and programme level
- Support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.

137. Activities under this output may include:

- Activity 3.3.1: Development of the programme communication and knowledge sharing strategy.
- Activity 3.3.2: Use of innovative and digital instruments such as Digital Public Goods amongst other instruments to promote the program and aligned it with CTCN new programme of work.
- Activity 3.3.3: Monitoring and evaluating the impact of the programme. The programme will be monitored at micro-grant level through the M&E as well as Closure report of the CTCN, as well as yearly through the Result Tracker of Adaptation Fund PPR and at programme level through the results tracker of the Adaptation Fund PPR. The impact of the project reflected in the closure report will be gathered in the online and centralized M&E platform of the CTCN<sup>32</sup> (restrictive access) as well as in the Facts and Figures session of the CTCN webpage (public access)<sup>33</sup>.

138. A separate but interlinked proposal will share UNEP 's vision on how the performance and impact of the global USD 40 million AFCIA II programme across multiple Implementing Entities could be strengthened through coordination, management, monitoring as well as knowledge sharing and learning services.

**B.** Describe how the project /programme would contribute meaningfully to the Expected Results under the Innovation Pillar (i.e. (i) New innovations and risk-taking<sup>34</sup> encouraged and accelerated; (ii) Successful innovations replicated and scaled up; (iii) Access and capacities enhanced for designing and implementing innovation and (iv) Evidence base generated and shared)

139. The Medium-Term Strategy 2018-2022 of the Adaptation Fund establishes a strategic focus on innovation including a micro-grants facility to develop and/ or test innovative adaptation products and technologies. Likewise, the Technology Framework of the United Nations

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<sup>32</sup> <https://www.activityinfo.org/login>

<sup>33</sup> <https://www.ctc-n.org/technical-assistance/request-visualizations>

<sup>34</sup> For some clarifications on the concept of risk, please see [INNOVATION PROJECT DESIGN ELEMENTS AND FURTHER CLARIFICATION ON THE CONCEPT OF RISK](#).

Framework Convention on Climate Change (UNFCCC) includes, as a key theme, support to accelerate and scale up innovation at different stages of the technology cycle to help countries to build resilience, foster sustainable development and ensure gender responsiveness.

140. The proposed programme by CTCN links to the three pillars of the Adaptation Fund Medium Term Strategy (MTS) II of (1) Action, (2) Innovation, and (3) Learning and Sharing; and more specifically to the expected results (ERs) of the Innovation Pillar as defined by the Adaptation Fund MTS II. Table 11 below, highlights the contributions of the proposed programme to the ERs of the innovation pillar.

**TABLE 11- CONTRIBUTIONS OF THE PROPOSED PROGRAMME TO THE ERs OF THE INNOVATION PILLAR**

<b>Expected results (ER) of Adaptation Fund MTS II</b>	<b>Contributions of Proposed Programme</b>
New innovations and risk-taking encouraged and accelerated.	<ul style="list-style-type: none"> <li>• New and high impact potential ideas will be sourced through reaching out and supporting a wide range of stakeholders at all levels and across continents with a focus on the most vulnerable countries with less capacities (Component 1 – Output 1.1 and 1.2)</li> <li>• 40 high-potential adaptation technology projects will be identified, assessed, and tested. (Component 1 – Output 1.3)</li> <li>• Innovation will be promoted through capacity building and knowledge sharing activities using Digital Public Goods amongst other instruments. (Component 3 – Output 3.3)</li> </ul>
Successful innovations replicated and scaled up	<ul style="list-style-type: none"> <li>• The 10 most promising adaptation technologies that were assessed will be scaled up. (Component 2 – Output 2.1)</li> <li>• The enabling environment for 10 highest-potential adaptation technologies will be enhanced for technology (Component 3 – Output 3.1)</li> <li>• 3 Concept Notes formulated and submitted to the Adaptation Fund for additional financing and large-scale implementation. (Component 3 – Output 3.2)</li> </ul>
Access and capacities enhanced for designing and implementing innovation	<ul style="list-style-type: none"> <li>• Transversal and continuous capacity building and knowledge transfer programmes will be conducted to make learning and sharing on climate adaptation technologies broader and accessible and boost replication. (Component 3 – Output 3.3)</li> <li>• The enabling environment for 10 high-potential adaptation technologies will be enhanced for technology scale-up. (Component 3 – Output 3.1)</li> </ul>
Evidence base generated and shared (linkage with learning and sharing pillar)	<ul style="list-style-type: none"> <li>• Rigorous Monitoring and Evaluation (M&amp;E) will be conducted at pre- and post-implementation stage.</li> <li>• Knowledge collection and sharing activities will be conducted to build an evidence base of effective, efficient adaptation practices, products, and technologies (Component 3 – Output 3.1)</li> </ul>

	<ul style="list-style-type: none"> <li>Digital public goods will be made available through the CTCN's website to share knowledge compiled and collected through the programme (Component 3 – Output 3.1)</li> </ul>
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C. Describe how the project/programme will source innovation small grant proposals, and screen them for the potential to support concrete adaptation actions to assist the participating countries in addressing the adverse effects of climate change and build in climate resilience.

*The programme will administer small grants which should not exceed US\$ 250,000. The proposal should provide details on the planned communication and outreach strategy effort and sourcing of innovation proposals, such that it would be ensured that innovation would not be restricted, and that the initiative would allow for various types of innovation (technologies, techniques, innovative finance for adaptation, practices, mechanisms and other.) Innovation may include the involvement of new or non-conventional stakeholders in the innovation process and/or the project develops incorporate new ideas "ways of doing things", create or enhance social relationships or form new collaborations/ partnerships to address the adaptation challenge etc. (i.e., social innovation.) The proposals should include details on the process for awarding small grants, such as the approach, criteria, and timeline. Details on the proposed monitoring and evaluation arrangements of the small grants, results management, and, very importantly, the learning and sharing aspect of the programme. Provision of technical assistance should also be detailed in the design.*

**Describe how the project/programme will source innovation small grant proposals.**

- 141. The delivery model of the CTCN has already proven to be successful in the last AFCIA programme. Please refer to paragraphs 28-35 of the proposal. The CTCN will ensure the selection of proposals through competitive bidding and stringent criteria for demonstration and scale up. The projects will be evaluated based on the CTCN's minimum eligibility, prioritization, and balancing criteria (please refer to paragraph 75) to ensure vulnerable countries like LDCs and SIDs are prioritized but also selected technologies are aligned with their NAPs, TNA, and TAPs. Please, note that the CTCN criteria for screening have been updated and approved during the 22<sup>nd</sup> Advisory Board meeting held in September 2023 in Bonn, and include gender as both a balancing and prioritization criteria. Please, refer to footnote 17 for further details. Selected projects will also abide by the UNEP's Safeguard Risk Identification Framework (SRIF) . Under AFCIA II, projects with low risks (Category C as per Adaptation Fund's ESMS) will be prioritized while projects with high risks will not be selected. If medium risk are identified, a management and /or gender action plan will be developed and approved at project level, following the AF ESP policy, to mitigate and monitor the risks during the project implementation. Adaptation Fund ESP policy is fully aligned with UNEP ESSMF, so is the SRIF with Adaptation Fund's 15 principles as reflected in Annexes B.
- 142. The sourcing of the micro grants will be done based on a country driven process, defined by CTCN mandate, with the lead of the National Designated Entity and in collaboration with the NIE/DAs. The programme will administer small grants which should not exceed US\$ 250,000. The sourcing of the grants is part of the **incubation phase, Outcome 1**.

**Proposed monitoring and evaluation arrangements of the small grants and results management**

- 143. Impact on climate change adaptation will materialize several years after the delivery of technical assistance. The CTCN has a monitoring and evaluation system fully operational since 2020 and internal dashboard to track, evaluate and report on activities, results, and expected impacts of its services. AFCIA, I have been defined as the baseline for the



implementation of the AFCIA II programme. Please refer to “AFCIA baseline and lessons learnt” and “proposed approach to AFCIA II” sections for additional details. The system will facilitate capturing the impact of CTCN activities through aggregated output, outcome, and impact-focus indicators such as anticipated funding leveraged, anticipated increased economic, health, well-being, infrastructure and built environment, and ecosystems resilience to climate change impacts because of technical assistance or anticipated number of direct and indirect beneficiaries. Furthermore, methodologies have been developed for guiding CTCN implementing partners and country focal points for climate technology in completing the TA closure reports that form the backbone of the CTCN reporting system, thereby enabling robust reporting on the activities of the CTCN.

144. The micro-grants, implemented as technical assistance projects, will meet monitoring and reporting requirements through a mandatory monitoring and reporting activity applied to each microgrant that includes a CTCN M&E and closure report as well as Adaptation Fund results tracker tools at micro-grant and programme levels. Please refer to Annex A.
145. An M&E Framework will need to be developed for each micro grant implemented. This M&E will be defined at the very beginning of the implementation. The M&E-related activities will consist of:
  - Providing an indication of the anticipated impacts (i.e., likely long-term effects) of the CTCN technical assistance in the country and /or sector
  - Providing an indication of the expected outcomes (i.e., likely short-medium term effects) of the CTCN technical assistance in the country and/or sector
  - Defining the outputs (consisting of at least one, but preferably more than one, service and/or product) of the CTCN assistance in the country and/or sector
  - Monitoring the impact of the Technical Assistances on gender : a detailed gender assessment and respective GAP will be developed for each project. Please refer to the Gender Action Plan, table 12 and to the Gender Assessment, Annex K.
  - Post project sustainability will be considered by providing an indication of how the outputs produced by the CTCN assistance will contribute/ support/ enable the host country/request proponent to advance on implementing climate technologies once the technical assistance is completed. For this purpose the CTCN follows every year with the implementers and the NDEs, through an email or bilateral meetings, on the implemented technical assistance in order to understand whether the project was able to leverage additional funding, if the enabling environment tool has been endorsed, if the technology has been replicated or any other news related to the technical assistance after its closure.
  - project proponents will be strongly encouraged and guided to integrate the elaboration of an exit strategy as one key activities of their technical assistances to ensure that the deliverables produced will be shared and used by all relevant stakeholders and that additional financing options are identified to support scaling up of the successful adaptation technology/innovation.
  - Identification of past and ongoing public and private sector initiatives at the local, national or regional level that the CTCN assistance will specifically build on and link to
  - Defining the situation (or state) that the CTCN assistance will be initiated from (i.e., its baseline).
  - Describing how gender considerations will be included and monitored within the proposed activities, and any gender co-benefits that will be gained because of implementing the CTCN assistance
  - Setting out how the monitoring and reporting for the CTCN assistance will be constituted ((i.e., M&E plan, data collection methodology, responsibilities, reporting, etc.)

- Selecting and defining performance and impact indicators (qualitative and quantitative) to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.
  - Elaboration of a logical framework as a basis to measure the success of CTCN assistance after it has been completed, where each response activity will be set out alongside one or more respective performance indicators and source(s) of information, Means of Verification and responsible party for its collection. Noting that the monitoring of the impacts will be further defined and elaborated through the Impact Monitoring Plan.
146. The closure report is designed to (1) communicate publicly in one synthesis document a summary of progress made and lessons learned under the technical assistance towards the anticipated impact, and (2) compile information required for internal use in donor and UN reporting. The closure report monitors gender and youth indicators. Gender and youth indicators are defined at early stage of the process by the awarded network partner of the CTCN, and approved by the CTCN, the NDE, the project proponent(s) and compared at closure based on what has been really achieved. Monitoring requirements are also taken in consideration at early stages of the process, while designing the expected outcomes and outputs of each project, as well as their associated indicators. National focal points are expected to play a key role in contributing to inform this process. These reporting requirements will be the basis to monitor the progress made against outcomes, outputs, activities, and associated indicators included in the programme Result Tracker. The Result Tracker also provides gender and youth indicators that will be defined at the start of the project (baseline), reviewed every year through the PPR, and at closure. Impact at micro-grants level will be shared with the Adaptation Fund at least once a year as part of the PPR.
147. The Results tracker provided by the Adaptation Fund and reported as part of the PPR enables to quantify the impact of the micro-grants through very clear indicators. The analysis of each individual result tracker will provide an overview of the impact of the UNEP CTCN programme. This monitoring will be made at 2 different scale: at project scale (for each of the 60 micro grants) and at programme scale as a global summary of the 60 (40+10+10) micro grants.
148. The CTCN also has a proven and robust project management system in place which would be applied to facilitate monitoring and reporting throughout implementation thereby facilitating adaptive management and learning by doing. Key features of the project management system include a project tracking tool which: is easy to update; contains information on process/status, financing, country focal points, eligibility, and prioritization criteria; is linked to a document database, collecting, among others, gender disaggregated data; is tied to reporting and visualization tools that are automatically updated; and differentiates between private and public information. The objective of the system is to ensure that support is targeted towards activities that demonstrate concrete impacts, address the transformational changes envisioned in the Paris Agreement and the long-term vision for technology development and transfer. The Programme management will endeavour to establish a culture and practice of monitoring micro-grants activities to demonstrate achievements in a transparent and accountable manner, as well as to facilitate knowledge capture and adaptive management.
149. The Monitoring, Evaluation and Learning system suggested under AFCIA II thus includes:
- Transversal and continuous learning and sharing process defined under Outcome 3, output 3.3 (please refer to paragraph 132-138)

- Organization of annual AFCIA session during the regional climate weeks, and sectoral and regional knowledge transfer workshops (please refer to paragraph 63)
  - Mid-term review that will provide suggestions and recommendations to foster the impact of the programme (paragraph 236).
  - Additionally, UNEP CTCN will reflect on iterative lessons learnt during the PPR exercise.
  - Lessons learnt will be extracted from the Closure reports and used as a tool to improve the implementation of the projects that are still under implementation.
  - The Monitoring, Evaluation and Learning system will include gender and youth indicators at all stage of the implementation of the technical assistances, through the M&E report (at start of the implementation), Result tracker (during implementation yearly) and at closure through the closure report.
  - AFCIA II will be strengthened to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.
  - The indicators at micro-grants and programme scale are included into ANNEX A.
- D.** Describe how the project / programme would screen innovation small grant proposals for their potential to provide economic, social, and environmental benefits, particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund.

**Alignment with Environmental and Social Policy of the Adaptation Fund**

150. The programme will screen and select the micro-grants through eligibility, prioritization, and balancing criteria. Please refer to paragraph 75 for more details. The screening process will rank the projects based on their innovativeness, and their potential to provide economic, social, and environmental benefits and increase the resilience of the hosted countries to the effect of climate change. During the CTCN Advisory Board held in September 2023, new Eligibility and Prioritisation principles including gender in both the balancing and prioritization principles were approved and thus immediately applicable by the CTCN<sup>35</sup>. Please refer to paragraph 75 and footnote 17.
151. Separately, AF ESP policy which is aligned with UNEP safeguard policy will be applied to identify and manage risks and ensure that no negative impacts are expected because of the implementation of the micro-grants. UNEP Safeguard Risk Identification Form (SRIF) will be used to ease the approval process internally and ensure the quality of the screening by UNEP team. For each pre-selected micro- grants, a SRIF will be prepared and sent for clearance to the UNEP Safeguards Advisor. If the screening assigns a high or moderate risk category to the project, additional steps will be taken to avoid or mitigate such risks during project preparation and management. Under AFCIA II, projects with low risks (Category C as per Adaptation Fund’s ESMS) will be prioritized while projects with high risk will not be selected. If medium risk is identified, a management and /or gender action plan will be developed and approved at project level, following the AF ESP policy, to mitigate and monitor the risks during the project implementation. Adaptation Fund ESP policy is fully aligned with UNEP ESSMF, so is the SRIF with Adaptation Fund’s 15 principles as reflected in Annex B.
152. Project and safeguard information will be disclosed to public and relevant stakeholders for their information and engagement through the Safeguard Mechanism specific webpage of the CTCN. Regular monitoring of the compliance with required environmental and social management plan will be carried out and documented in the annual progress reports. The project team will encourage stakeholders to communicate any potential negative effects that

<sup>35</sup> [https://www.ctc-n.org/sites/www.ctc-n.org/files/AB2023.22.23\\_Draft%20Revised\\_Eligibility\\_and\\_Prioritization\\_Criteria.pdf](https://www.ctc-n.org/sites/www.ctc-n.org/files/AB2023.22.23_Draft%20Revised_Eligibility_and_Prioritization_Criteria.pdf)

the Technical Assistance could have. The programme grievance redress mechanism will be established and introduced during the programme launch workshop as well as each selected TA projects' kick off meetings and the links will be made publicly available via the AFCIA website. The project team will respond promptly to any concerns observed or reported to avoid their escalation to grievances. Protocols will be developed to establish the Grievance Redress Mechanism following UNEP's Stakeholder Response Mechanism (SRM) providing the opportunity for people who believe they have been adversely affected by activities that are implemented or executed as part of AFCIA II projects to submit complaints directly to CTCN and UNEP. Any person or group of persons who believe that they are or may be adversely affected by an activity implemented or executed as part of AFCIA will be able to file a complaint. The response process will be managed by CTCN with complaints not addressed referred to UNEP as a second step. Protocols will describe the dissemination strategy of the GRM, explain the process of complaints registration and sets the GRM operating procedures to respond to the requests and address the grievances.

153. A specific webpage of the CTCN on Safeguard Mechanism will actively disseminate information on how to raise grievance cases and access grievance redress mechanism, if there is any concern and complaint related to the implementation of the selected micro-grants.
154. UNEP's Environmental and Social Sustainability Framework (ESSF) aims to strengthen the sustainability and accountability of UNEP programmes and projects. It respects human rights and aims to protect people and the environment from potential adverse impacts of project interventions and to ensure that stakeholders actively participate in programmes and projects and have effective channels to voice their concerns. The ESSF sets out UNEP's commitment to sustainable development and environmental and social standards that are designed to promote human well-being and the protection of the environment.
155. To support the Environmental and Social Safeguards Framework UNEP has adopted several related policies which will be applied to the Aggregator mechanism including:
  - [Policy guidance on environment, human rights and addressing inequalities.](#)
  - [Indigenous people policy](#)
  - [Policy and strategy on gender equality and the environment](#)
  - [Promoting greater protection for environmental defenders](#)
  - [UNEP Environmental and Social Sustainability Framework](#)
  - [UNEP's Stakeholder Response Mechanism](#)

#### **Alignment with Gender Policy of the Adaptation Fund**

156. The different ways in which environmental and climatic conditions impact the lives of women and men is largely a result of existing inequalities around the world. Gender roles often create differences in the way that men and women act in relation to the environment, and in the ways men and women are enabled or prevented from acting as agents of change and building their resilience. Due to these differentiated roles, men and women adopt different strategies and have different types of knowledge regarding environmental protection and climate change.
157. There is widespread gender inequality in land rights and ownership, and access to and management of resources. This impacts the whole society and economy: children are 60-85 per cent more likely to suffer from malnutrition where women lack land rights. Supporting women's access to income, savings, and assets, as well as developing childcare services, can create new opportunities for advancing national development. Women are often engaged in informal economic activities that lack visibility and are much more vulnerable to climate hazards. For instance, in some countries, women's contribution to the formal economic sector is not recognized — for example, their contribution to farming or fishing. This limits access to benefits such as climate change information and agricultural extension services (technology, finance, and skills training), which are often targeted at men in formal occupations. Ensuring

that women as well as men benefit from AFCIA will bring projects closer to the reality on the ground and help develop more effective solutions for adaptation.

158. As per Decision 2/CP.17 to facilitate the preparation and implementation of technology projects and strategies considering gender considerations to support action on mitigation and adaptation, the CTCN has developed a Gender Policy and Action Plan<sup>36</sup> which was updated and approved by the Board during the 22<sup>nd</sup> Advisory Board meeting held in Bonn in September 2023. This new Gender Policy fully integrates the gender principles defined under the Adaptation Fund's Gender Policy. Please refer to the footnote 27 for further detail. This gender policy also responds to the UNFCCC Gender Action Plan (Decision 3/CP.23) and the increasingly acknowledged and important linkages between gender and climate, and thus applies to the full range of CTCN activities including technical assistance, capacity building, networking, communication, knowledge sharing, monitoring, and evaluation. The policy was developed in a collaboration between gender experts and the CTCN secretariat. The CTCN also acknowledges the valuable inputs provided by representatives from the UNFCCC Women and Gender Constituency.
159. A gender-sensitive approach will be applied to the implementation of capacity building and knowledge sharing including:
- Use of male and female knowledge product, communication, and public education material developers for the diversity of perspectives and approaches, as well as male and female reviewers of these products.
  - Use of gender-sensitive language and gender-balanced images (women not presented as victims but as agents of change).
  - Examining context and content (use convincing gender arguments based on reliable sources and qualitative and quantitative data including sex-disaggregated data where relevant).
  - Referring to (inter-)national policy framework, policies, strategies, and plans, as applicable and appropriate.
160. UNEP-CTCN will work to leave no one behind, aligned with Adaptation Fund principles 2 and 3 "Access and Equity" and "Marginalized and Vulnerable Groups" respectively, while increasing its focus on women, and vulnerable, marginalized groups. UNEP-CTCN will address the most critical needs or priorities and targets set by needs of least developed countries, land-locked developing countries and small island developing states, facilitating access to finance, technology and innovative solutions to help them build more resilient and inclusive economies and societies in a post COVID-19 world. In its contribution, UNEP will channel the voices of those most vulnerable to environmental degradation, including women, indigenous peoples and their communities, and children and youth.
161. Alignment with Gender Policy of the Adaptation Fund<sup>37</sup> will be ensured based on the experience built from the implementation of AFCIA phase I and through the recently revised CTCN Gender Policy. Gender equality will be considered as guiding principle of the risk screening checklist (SRIF). At proposal stage, the SRIF will be used to assess possible risks of the technical assistance on gender, youth, and vulnerable communities. The results of the preliminary gender assessment and its respective considerations will be reflected in the Response Plan of each TA selected under AFCIA II. Should the gender risk be rated as medium or high, a gender action plan will be defined at project level. The indicators used to identify and monitor the risks listed in the SRIF will all be disaggregated by gender. Also, the CTCN has robust gender procedures in place to mainstream gender from the early start of the discussion on the Technical Assistance (TA) requests and the design of project concept notes, through

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<sup>36</sup> CTCN's gender strategy [https://www.ctc-n.org/sites/www.ctc-n.org/files/resources/ctcn\\_gender\\_policy\\_and\\_gender\\_action\\_plan.docx.pdf](https://www.ctc-n.org/sites/www.ctc-n.org/files/resources/ctcn_gender_policy_and_gender_action_plan.docx.pdf)

<sup>37</sup> [https://www.adaptation-fund.org/wp-content/uploads/2021/03/Decision-B.35-36.25\\_updated-GP-and-GAP.pdf](https://www.adaptation-fund.org/wp-content/uploads/2021/03/Decision-B.35-36.25_updated-GP-and-GAP.pdf)

implementation and monitoring of impacts on gender equality and women empowerment. Key tools and procedures already in place and used in developing and implementing AFCIA I and will be replicated to AFCIA II including:

- CTCN screening and prioritization criteria applied to all TA assistance projects (including AFCIA projects), include a gender equality and women empowerment criteria, as well as a gender balancing criteria and gender prioritization criteria as per decision of AB/2023/22/23 (please refer to footnote 17) and are aligned with Adaptation Fund's principle 5 which corresponds to UNEP ESSF guiding principle "Human rights and gender equality". The request promotes and demonstrates gender equality, and empowerment of vulnerable groups, including women and youth.
- CTCN Gender Mainstreaming Tool and Adaptation Fund's Gender Policy will be applied to develop the response plans and guide the design, implementation, and monitoring of the TAs. The tool follows a 3-step approach: 1/Perform a preliminary gender analysis through SRIF; 2/Develop a detailed gender assessment and its respective GAP at implementation stage; 3/Monitor and Evaluate. The goal is to support equal participation and ensure that both women and men benefit from the project and that inequality is not perpetuated.
- IPs/Network Members are required to report on gender and youth indicators and provide gender disaggregated data where applicable.
- Since the implementation of AFCIA I, the CTCN Gender Policy and M&E system have been updated to integrate additional consideration on gender, including a minimum 5% of the total budget allocated to the Technical Assistance to be used for gender mainstreaming activities, as per the Advisory Board decision of September 2023, as well as new monitoring indicators defined.

162. The implementation of the AFCIA II programme will be aligned with UNEP and CTCN's gender policy and action plan, also aligned with the Adaptation Fund's Gender Policy. During the Advisory Board of the CTCN held in Bonn in September 2023, the CTCN was requested to allocate a minimum of 5% of the budget allocated to the Technical Assistances to gender mainstreaming activities. Under AFCIA II, this budget line will be used to request the formulation of a mandatory gender assessment and its respective GAP under each technical assistance that will include at least the following components:

- i) Gender Disparities Analysis (evaluate the status of gender disparities in the project's context, including socio-economic, cultural, and institutional factors. Identify areas where inequalities exist etc) through primary and secondary data<sup>38</sup>.
- ii) Data Collection (collect and analyse gender-disaggregated data to understand the specific needs and preferences of different genders). The data collection will follow Adaptation Fund guidelines and will disaggregate data by sex and gender identity and then further differentiated by for example age, disability, or economic status, as well as on wealth, caste/class, indigeneity, race, gender identity or sexual preference.
- iii) the assessment should describe:
  - cultural norms, commonly held beliefs, perceptions, stereotypes, values and practices related to gender in the country or region of the proposed intervention

<sup>38</sup> Secondary data should include as per the Adaptation Fund recommendations: **key gender statistics** in the country or region of the proposed intervention or the project/programme area? These include f.ex.:

- Maternal mortality rate (disaggregated by age, ethnicity, indigeneity where possible)
- Infant mortality rate
- Educational status of girls and boys
- Adult literacy rate (disaggregated by sex)
- Poverty rate (disaggregated by sex, age, ethnicity, indigeneity where possible)
- Labor force participation rate (disaggregated by sex, age, ethnicity where possible)
- Employment data (disaggregated by sex, age, ethnicity where possible)
- Political participation rate (disaggregated by sex, ethnicity, indigeneity where possible)
- Life expectancy (disaggregated by sex)

- how the livelihoods of men and boys, women and girls may be affected differently by climate change
  - any anticipated gender difference in vulnerability and adaptive capacity among men and boys, women and girls, including of different ages, ethnicity, social class, or indigeneity.
  - whether existing gender inequalities will be exacerbated by climate change impacts in the proposed project area
  - analyze the reasons for why different gender groups and sub-groups might be more vulnerable to the impacts of climate change or have reduced capacity to adapt to them
  - the time commitments and mobility needs/restrictions different sub-groups of women and men might face in taking on specific functions and roles in the context of the project/programme intervention
  - examine how gender norms influence gender division of labor between old and young women and men in the project/programme area– are there differences between urban, rural and indigenous communities?
  - examine the participation of different gender groups and sub-groups in both the formal and the informal economy in the project/programme area
  - look at the situation of women and men and different gender sub-groups in the specific sector of intervention or the project/programme footprint area
  - look into whether and how the planned project/programme activities will affect the existing gendered division of labor, for example in the household
  - Will shifts in the gendered division of labor and related burden as a consequence of the planned project/programme intervention be shared equally between involved gender groups and gender sub-groups
  - explore the extent to which the most vulnerable sub- groups of women and men participated in decision-making processes or management structures
  - look into the types of decisions made by different sub- groups of women and in what sphere (household, community, national level?)
  - describe the constraints (social, cultural, economic, and political) that restrict the more active participation of women or other vulnerable gender sub-groups in decision-making processes at different levels?
- iii) Gender-Responsive Design (assess the project's design to ensure that it considers the different roles, responsibilities, and interests of various genders. Consider :
- how the project can empower marginalized genders and promote gender equality.
  - look into how to increase the capabilities of different gender groups and sub-groups to reduce gender-specific vulnerabilities and climate change impacts
  - Suggest **opportunities to promote the agency and leadership of women and specific vulnerable gender sub-groups** in Local governance arrangements, Political system, Formal/informal institutions
- iv) Gender and Innovation ecosystem (assess how the technology could foster women as entrepreneurs)
- look at opportunities to promote the agency and leadership of women and specific vulnerable gender sub-groups in the intended project/programme's own structures for decision-making, management or advisory committees?
  - identify and detail opportunities to expand paid work or increase economic autonomy for marginalized gender sub-groups
- iv) Gender Budgeting (budget allocation to target gender mainstreaming activities. Also ensure that gender-specific needs are adequately funded).

v) Capacity Building

vi) Monitoring and Evaluation (shall include regular gender-sensitive assessments to track progress and adjust as necessary).

Revised indicators on gender were also approved during the Advisory Board Meeting held in Bonn in September 2023. The Monitoring and Evaluation report of the CTCN thus include 2 new indicators on gender: number of participants in climate technology RD&D and innovation-related events (gender disaggregated); percentage of TA budget allocation targeting gender mainstreaming. The Monitoring and Evaluation indicators defined to report on the impact of the AFCIA II programme are available in Annex A. The Monitoring, Evaluation and Learning system will include gender and youth indicators at all stage of the implementation of the technical assistances, through the M&E report (at start of the implementation), Result tracker (during implementation and updated yearly) and at closure through the closure report. The selection of the gender-responsive project/programme indicators will be aligned with Adaptation Fund's GP (para. 16).

A gender assessment has been developed at programme level and is included under annex k. On this basis, a Gender Action Plan has been created and is available in table 12 below.



TABLE 12- AFCIA II GENDER ACTION PLAN

<p><b>Impact Statement:</b></p> <p>(Describe here the main goals of the project/programme-level GAP. The impact statement should briefly summarize the contribution the project/programme aims to make to advance gender equality and the empowerment of women and girls as part of the project/programme implementation. This should note both the difference the project/programme will make over time. It also should state, as applicable, the long-term changes in gender power relations and gender norms to which the project/programme aims to contribute.)</p> <p><i>Example: Increased food security for differentiated gender groups and gender sub-groups in the project/programme area through better access to improved climate-resilient agricultural inputs and extension services.</i></p> <p><b>To support differentiated gender groups and gender sub-groups from developing countries in testing, scaling up and leveraging innovative, transformative, and locally led climate adaptation technologies across the technology cycle to increase resilience of the most affected by Climate Change Impacts.</b></p>
<p><b>Outcome Statement:</b></p> <p>(Write here the project/programme outcome statement; it should be specific and measurable (through qualitative or quantitative indicators and targets) and describe specific changes and improvements in attitudes, knowledge, awareness, capacity, skill or behavior that will result due to the actions of the projects/programme.)</p> <p><i>Example: An estimated X number/increased percentage (against a baseline) of female subsistence farmers have improved their agricultural productivity in a climate-resilient way, taking into account traditional local and indigenous knowledge.</i></p> <p><b>30% of direct beneficiaries and 50% of indirect beneficiaries of the programme are women benefitting from effective, climate-resilient, locally led adaptation technologies</b></p>
<p><b>Output(s) Statement(s):</b></p> <p>(Write here the output statement; in many cases (often corresponding to multiple project/programme components) there will be more than one output for a project or programme. Each output statement should be followed by a separate row with details of associated activities under the GAP; gender and sex-disaggregated indicators and targets, timeline and responsibilities)</p> <p><i>Example: Indigenous female subsistence farmers in the project/programme area with improved access to climate-resilient agricultural inputs and extension services</i></p> <p>Output 1.1: Gender-responsive outreach and capacity building plan developed</p> <p>Output 1.2: 80% of selected climate adaptation technologies are gender responsive</p> <p>Output 1.3: 30% of direct and 50% of indirect beneficiaries of the 40 adaptation innovations and technologies tested in developing countries are women</p> <p>Output 2.1: 30% of direct and 50% of indirect beneficiaries of the 10 promising climate adaptation technologies scaled up are women</p> <p>Output 3.1 80% of newly established or improved NSI gender responsive</p> <p>Output 3.2 3 formulated concept notes promote women empowerment and support their access and use of climate adaptation technologies.</p> <p>Output 3.3 At least one project story, one lesson learnt and one technology factsheet developed and disseminated while targeting women and youth.</p>

Activities	Indicators	Targets	Timeline	Responsibilities	Costs
Activity 1.1.1: Develop a gender responsive communication and outreach strategy and capacity building strategy	Number of gender responsive comm, outreach strategy and capacity building strategy developed	1 gender responsive coms and outreach / capacity building strategy is developed	Comms – Outreach- capacity building strategy is defined at the inception phase but implemented throughout the implementation	CTCN	CTCN project management fee
Activity 1.1.2 Gender responsive communications products are prepared for the launch of the programme.	Number of gender responsive communication products formulated for the official launch of the programme	At least 50% of the communication products formulated for the official launch of the programme are gender-responsive.	Inception phase	CTCN	CTCN project management fee
Activity 1.1.3: Official launch of the programme is targeting women through specific sections on women and climate adaptation technologies.	Number of sections dedicated to gender and climate adaptation technologies organized for the launch.	One session on gender and climate technologies organized for the launch.	Project selection and response plan phase	CTCN	CTCN project management fee
Activity 1.1.4: Improve the quality of the gender assessment at sourcing stage through capacity building workshops.	Engage and support LDCs and SIDs in successfully integrating gender	At least 3 online training workshops on integrating gender dimensions on micro-grants proposals are organized.	Project selection and response plan phase	CTCN together with project proponents	CTCN project management fee

	dimensions in their micro-grant proposals through training workshops on proposal writing.				
Activity 1.2.1 Requests are assessed and selected against gender related criteria.	Number of criteria of selection considering gender	1 eligibility criteria, one prioritization criteria, 1 under the balancing criteria.	Project selection and response plan phase	CTCN	CTCN project management fee
Activity 1.2.4: Develop gender pre-assessment for the selected projects within the response plans	Number of Gender pre-assessment formulated	80 (one at request stage and one at Response Plan stage for each of the 40 selected projects.)	Project selection and response plan phase	CTCN together with project proponents, and NDE	CTCN project management fee
Activity 1.3.1: Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.	Number of gender specialists contracted at project level	40 gender specialists contracted (one per project as per the rules of the CTCN).	Bidding phase	CTCN	CTCN project management fee
Activity 1.3.2: Impact of 40 tested technologies on gender is assessed and strengthened	Number of detailed gender assessments and GAP generated at project level	40 detailed gender assessments and GAP generated and implemented (one by project as a mandatory requirement of the CTCN)	Implementation of TA s selected under Component1	CTCN delivery partners	TA budget
Activity 1.3.3: Monitoring and Evaluation of the impact on gender at project and programme level is made.	Number of direct and indirect beneficiaries disaggregated by gender and youth.	+100,000 direct beneficiaries, with at least 30% of women  50% of indirect beneficiaries will be women and 20% youth	Monitoring of the project implemented under Component 1 and 2.	CTCN delivery partners, CTCN	TA budget
Activity 2.1.1 and 2.1.2: Requests are assessed and selected against gender	Number of criteria of selection considering gender	1 eligibility criteria, one prioritization criteria, 1	Monitoring of the project implemented under Component 2.	CTCN	CTCN project management fee

criteria.		under the balancing criteria.			
Activity 2.1.3: Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.	Number of gender specialists contracted at project level	10 gender specialists contracted (one per project as per the rules of the CTCN).	Bidding or contracting process	CTCN	CTCN project management fee
Activity 2.1.4: Gender impact of the 10 selected for scale up technologies is demonstrated and strengthened	Number of detailed gender assessments and GAP generated at project level	10 detailed gender assessments and GAP generated (one by projects as a mandatory requirements of the CTCN)	Implementation of projects under Component 2.	CTCN	TA budget
Activity 2.1.5: Monitoring and Evaluation of the impact on gender at project and programme level is made.	Number of beneficiaries from the 10 scaled up adaptation technologies and innovations among which % of women and youth.	1500 direct beneficiaries, with at least 30% of women, <sup>39</sup>  50% of indirect beneficiaries will be women and 20% youth	Monitoring of the project implemented under Component 2.	CTCN, CTCN Implementing Partners	TA budget
Activity 3.1.1: Requests are assessed and selected against gender criteria	Number of criteria of selection considering gender	1 eligibility criteria, one prioritization criteria, 1 under the balancing criteria.	Selection of TA sunder component	CTCN	CTCN project management fee
Activity 3.1.2: Develop gender pre-assessment for the selected projects within the response plans	Number of pre-gender assessments generated at project level	10 pre-gender assessments generated (one by projects as a mandatory requirement of the CTCN)	Selection of TA sunder component 3	CTCN, NDE, DAs, Project Proponents	CTCN project management fee
Activity 3.1.3: Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.	Number of gender specialists contracted at project level	10 gender specialists contracted (one per project as per the rules of the CTCN).	Bidding process for Component 3	UNEP, CTCN, Implementing Partners	CTCN project management fee
Activity 3.1.4: Gender responsive NSI for the selected 10 technologies is	Perception of the information received from the system,	At least 10% of women has tested the NSI and at least 50% of these	Implementation of the TAs selected under Component 3	CTCN, NDE, DA, Implementing	TA budget

<sup>39</sup> See footnote 45

established or improved	disaggregated by gender- sub-groups (do they trust it, is it the right channel etc..) rated on a scale of 1-5.	women rate it as 3 or plus.		Partners, Project Proponents.	
Activity 3.1.5: Monitoring and Evaluation of the impact on gender at project and programme level is made.	Number of direct and indirect beneficiaries disaggregated by gender and youth.	20% of indirect beneficiaries will be women and 20% youth	Monitoring of Component 3	UNEP, CTCN, Implementing Partners	TA budget
Activity 3.2.1: Requests are assessed and selected against gender criteria	Number of criteria of selection considering gender	1 eligibility criteria, one prioritization criteria, 1 under the balancing criteria.	Implementation of Component 3	CTCN	TA budget
Activity 3.2.2: Three gender assessments and action plans are developed for the three Concept notes and submitted to the Adaptation Fund	Number of full proposal gender assessments formulated	Up to 3 (one per concept notes, as per the rules of the Adaptation Fund)	Implementation of Component 3	CTCN	TA budget
Activity 3.3.1: Gender responsive communication products are formulated.	Number of gender responsive comms products formulated	At least one success story and one lesson learned and technology factsheets are developed	Implementation of Component 3	CTCN	CTCN project management fee
Activity 3.3.2: Innovative and digital instruments are used to promote the program and reach women.	Number of dissemination products formulated on the impact of gender and Climate Change / gender and technology and promoted through innovative and digital instruments	At least 3 dissemination products are formulated on the impact of gender and Climate Change / gender and technology and promoted through innovative and digital instruments	Implementation of Component 3	CTCN	CTCN project management fee
Activity 3.3.3: Monitoring and Evaluation of the impact on gender at project and programme level is made.	Number of lessons learnt, factsheets and success stories on gender and climate adaptation technologies formulated	At least one success story and one factsheet formulated.	Implementation of Component 3	CTCN	CTCN project management fee

- E. Describe or provide an analysis of the cost-effectiveness of the proposed project / programme and explain how the regional or multi-regional approach would support cost-effectiveness.

#### Cost-Effectiveness of the programme

163. UNEP CTCN will be cost effective due to their experience and understanding of managing AFCIA I programme. CTCN UNEP is trained in screening and selecting relevant micro-grants, it already has an idea on the design that the webpage should have, how would transparency in the process be ensured, as well as the potential difficulties that could be faced (please refer to AFCIA baseline and lessons learnt under Section II project justification for further details) and the intervention strategies (please refer to "proposed approach for AFCIA II" for additional details). Webinars have already been organized under AFCIA I and thus the format that works better (regionally) has already been identified. The different steps to be followed from the launch to the closure of the projects are well established and run smoothly. The branding image of the programme already exists, the NDEs have been regularly informed about the AFCIA I programme, thus AFCIA II should be easy to understand. All these factors will impact the cost effectiveness of AFCIA II.
164. The project will build on the expertise and experience of the CTCN and its 700 Network Members, thereby leveraging existing skills and knowledge in a cost-effective manner. The Network Members have been pre-screened by the CTCN and meet the following membership criteria:
- One of the following institutional structures: national technology centre or institution; regional climate technology centre or network; intergovernmental, international, regional or sector organization, partnership or initiative that contributes to technology deployment and transfer; or research, academic, financial, non- governmental, private sector or public sector organization, partnership, or initiative.
  - Demonstrated capability in initiatives aimed at development, transfer and deployment of climate innovations and technologies applicable for developing countries including expertise in policy, capacity building and/or investment.
  - Operational and organizational stability, as evidenced by financial, human, and other resources relative to their mandate and size that could reasonably be deemed sufficient to deliver the organization's mandate; and
  - A pledge to comply with the CTCN code of Conduct.
165. Network Members will be engaged in Technical Assistance, capacity building, and knowledge sharing activities of the project. Inputs to capacity building and knowledge sharing take place on a no-cost basis while implementation of technical assistance is based on a competitive bidding process that ensures the greatest value. Furthermore, during all activities, efforts will be made to assess the cost-effectiveness of the proposed innovations as well as their suitability for private sector funding. The approach for such assessments will be taken from existing good practices within the CTCN portfolio.
166. The second independent review of the CTCN<sup>40</sup> on cost effectiveness concludes that "the CTCN can be considered as cost effective given that the services it provides are based on country-driven demand rather than being standardized and of small scale. The CTCN managed to develop its organizational structure and skills without increasing human resources overall. The CTCN uses a tendering process that allows the most economically advantageous providers to be selected for technical assistance implementation, alongside reinforcing competition among many Network members. Fewer internal resources would have involved limiting the scope of the projects and expected outputs or cancelling some planned activities, thereby affecting the quantity and quality of outputs and outcomes delivered."

#### Cost-Effectiveness of regional or multi-regional approach

167. The CTCN approach uses a common framework of activities based on a theme or focus area adapted to different national circumstances, and can be used across a subregion, region, or continent. The CTCN will continue to replicate its multi-country and programmatic approaches in implementing the UNEP CTCN AFCIA II programme. Indeed, as requested by the Advisory Board and mandated by COP decisions, the CTCN should promote multi country (regional) capacity building, analysis and research

<sup>40</sup> Page 14 of the second independent report of the CTCN  
file:///Users/Nadege/Documents/UN\_CTCN/UNEP/CTCN%20prod/2023\_Review%20May%2002nd/May02nd%20comments/Support%20document/Second%20independent%20report%20CTCN%20E&Y.pdf

at a regional level that will have the potential to have impact at country level. Efficiency gains will be achieved through learnings captured from previous CTCN-implemented technical assistance requests where programmes can be delivered based on learning from similar NDE submissions. For example, under AFCIA I programme the Solar Pumping Irrigation Systems were requested by the 3 regions (LAC, Africa, and Asia). The CTCN will aim at increasing transfer of knowledge on this technology by developing a sectorial technology factsheet to gather key functionalities of these systems. Also, as part of CTCN new Programme of Work, the nexus Water – Food - Energy has been identified as a system of transformations. Any lessons learnt and expertise acquired by the CTCN in supervising these projects will be used for the benefit of the AFCIA II programme.

168. This regional approach supports the capacity-building and stakeholder engagement efforts of the CTCN in effectively mainstreaming climate technologies into national planning and enhancing access to financial resources. Through its new Programme of Work the CTCN will strengthen its ability to support countries in scaling up and reaching their NDC adaptation and mitigation targets through the deployment of climate technologies.
169. Building on its experience in over more than 160 developing countries, the CTCN is well placed to adopt a regional approach, whether via multi-country implementation or through programmatic approaches. Multi-country projects promote capacity building, analysis and research at a regional level that infuses direct support at country level and presents several efficiency gains such as lower transactional costs and the harmonization of policies and regulations across a region. However, with microgrants of maximum 250,000 USD multi-country projects might not be realistic. In term of cost effectiveness, the CTCN's programmatic approach often revolves around a standard methodology or thematic focus across several countries and may be established to facilitate the replication of a project type that has been effective in supporting transformational change.
170. The Medium-Term Evaluation and Final Evaluation will be used to assess and improve the cost-effectiveness of the global programme.

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F. Describe how the project / programme is consistent with national or sub-national sustainable development strategies, adaptation planning processes, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action, national adaptation plans (NAPs), nationally determined contributions (NDCs), adaptation communications, and other voluntary adaptation reports, where they exist, as well as with the UNFCCC technology framework, and other relevant instruments .

171. The programme will ensure consistency with national or sub-national sustainable development strategies, adaptation planning processes, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action, national adaptation plans (NAPs), nationally determined contributions (NDCs), adaptation communications, as well as with the UNFCCC technology framework, and other relevant instruments by/through:

**Involving NDEs at all stage of the process** from requests of the technical assistance to closure.

- CTCN will involve NDEs and Adaptation Fund's focal points since the submission of the requests the formulation of the response plan (Terms of References of the Technical Assistance) and the implementation of the project. This model, already applied within the AFCIA I have demonstrated to be an effective way to ensure the involvement of the country during the implementation of the projects and beyond. The Commitment of key policy/decision makers will be ensured by the signature of the request by the NDE and Project Proponent(s) and the signature of the Response Plan by the NDE, the CTCN, project proponent(s) of the Technical Assistance and the DA/NIE of the host country.

**Considering alignment with national strategies as a prioritization criteria of the screening process**

- Screening the requests based on their alignment with national policy framework and national priorities defined in their NDCs, TNAs, NAP.

**Aligning the implementation of AFCIA II with CTCN mandate and new Programme of Work.**

- CTCN will make sure to adapt and adopt new long-term planning techniques and best practices to reflect the urgency of the transformation emphasized in the IPCC Special Report on Global Warming of 1.5°C.
- By mandate, CTCN will ensure alignment of the programme with Paris Agreement, UNFCCC decisions, COP decisions.

**Connecting the programme to CTCN partners** through regular communication with:

- UNEP and CTCN regional offices support the capacity-building and stakeholder engagement efforts of the CTCN in effectively mainstreaming climate technologies into national planning and enhanced access to financial resources.
- GCF, GEF, other UN agencies such as UNDP

**Encouraging transparency and collaboration among institutional and non-conventional local stakeholders**

- As part of a new enabler of its Programme of Work, and as a pillar of AFCIA II, the CTCN will promote the establishment or improvement of National Systems of Innovation to support policies, institutional and regulatory frameworks, and planning processes on innovation (outcome 2 and Output 3.1)

**Building linkages with United Nations Country Teams in the different countries** to ensure synergies and avoid duplication between the different agencies, project, and initiatives ongoing the countries. This network can also support the communication and outreach strategy and capacity efforts in country.

- G. Describe how the project / programme would screen innovation small grant proposals for meeting the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund.

172. **Involving NDEs at all stage of the process** from requests of the technical assistance to closure.

CTCN will involve NDEs and Adaptation Fund's focal points since the submission of the requests the formulation of the response plan (Terms of References of the Technical Assistance) and the implementation of the project. This model, already applied within the AFCIA I have demonstrated to be an effective way to ensure the involvement of the country during the implementation of the projects and beyond. The Commitment of key policy/decision makers will be ensured by the signature of the request by the NDE and Project Proponent(s) and the signature of the Response Plan by the NDE, the CTCN, project proponent(s) of the Technical Assistance and the DA/NIE of the host country.

H. Describe if there is duplication of project / programme with other funding sources, if any.

173. Within the scope of the Adaptation Fund micro-grants accelerator duplication will be avoided by a transparent project dashboard in which the CTCN will record all applications received. This dashboard will be publicly available, and both the Adaptation Fund and other IEs will be given special user rights to access all associated documentation accompanying the applications. If duplication is found, other IEs in coordination with UNE/CTCN will arrange for a conference call with the project in question to decide which proposal the project proponent want to keep and withdraw. The project proponent will send a formal letter to withdraw the proposal from either UNEP/CTCN or another IEs.

174. The risk of duplication could also be lowered by involving Adaptation Fund's focal points in the process. If each NIE/DA is copied on the submissions related to his country, risks of duplication could more easily be flagged. In the AFCIA coordination project that we have submitted for consideration, this would be a coordinating action that will be implemented.

175. Within the application template, a specific section is dedicated to similar initiatives that could have been developed or could be under development under the country / region. Should a similar project/ programme be identified, the CTCN will contact the funding agency to further analyse and understand whether a duplication could take place or if the initiatives would rather be complementary. The CTCN will also request additional information about the status of the initiatives, its scope, coverage area, expected timeline and budget. With this information on hand, the CTCN could decide to reject the request or inform the Adaptation Fund to take a joint decision.

176. The CTCN will have continuous communications with at least:

- CTCN regional offices (Denmark, Kenya, Panama, Bangkok) and Liaison office in Korea.
- UNFCCC TEC
- Advisory Board and respective constituency groups
- UNEP regional offices



- CTCN and UNEP knowledge partners
- UN Regional offices
- NDEs and DA/ NIE at national levels
- Network members
- Adaptation Fund Secretariat

- I. Describe the learning and knowledge management system to capture and disseminate evidence, particularly of effective, efficient adaptation practices, products or technologies generated, as a basis for potential scaling up.

*The learning and sharing knowledge management mechanism developed should be useful, accessible, sustainable, and, to the extent possible, minimize inefficiencies and duplication. The AFCIA MIEs and RIEs are expected to coordinate closely to help bring about the optimal solution that would best serve the eligible recipient countries' innovation-for-adaptation knowledge needs, including knowledge already generated under AFCIA so far.*

177. Through outputs 3.3 of Outcome 3, UNEP CTCN will:
  - Coordinate dispersed stakeholders at micro-grants level.
  - Generate awareness around AFCIA II programme among external audiences.
  - Demonstrate the value of this AFCIA II programme among key stakeholders.
  - Solicit feedback and generating support for continued improvement and sustainability of the CTCN service offering referring to AFCIA II programme.
  - Promote capacity building and transfer of knowledge on climate adaptation technologies to the public using Digital Public Goods and other instruments accessible to all.

The Coordination Services proposal describes UNEP's vision on delivering coordination, management, monitoring as well as knowledge sharing and learning to strengthen the global USD 40 million AFCIA II programme implemented by different Implementing Entities.

178. The AFCIA II programme will be assessed, monitored, and reported through different indicators and throughout the implementation of each micro-grants and of the programme through:
  - CTCN M&E report (developed at the start of the project implementation and reviewed at the end of the implementation to compare the expected impacts with the results achieved). AFCIA II will be strengthened to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.
  - Specific AFCIA II indicators monitored at project and programme scale. The full list of indicators can be found in Annex A.
  - CTCN Dashboard will provide specific facts and figures on the impact of the AFCIA II programme, and these results will be publicly available, so will the M&E platform of the CTCN.

179. The project will make use of the CTCN and UNEPs' robust communications and knowledge management system, with a vibrant web portal ([www.ctc-n.org](http://www.ctc-n.org)) containing over 17,000 information resources on climate change adaptation and mitigation innovations (technology case studies, reports, webinars, social media updates and videos, e-newsletter, and presentations). The CTCN Knowledge Portal contains, amongst other resources, +11,800 innovation and technology publications, case studies, tools, and videos, +2,200 national plans (Technology Needs Assessments, Nationally Determined Contributions, and National Adaptation Plans), +2,100 climate technology solutions, +100 webinars and +40 original CTCN publications. A dedicated webpage similar to the one used under [AFCIA I](#) will be created, through which applications will be received (public page) and screened (restrictive access). A specific section under [facts and figures](#) will also be created. Communication contents will be regularly updated into CTCN webpage, Facebook, twitter, LinkedIn, and UNEP relevant webpages and publications.

180. Under AFCIA I, an communication and outreach strategy was developed which included the realization of videos, the preparation of press release and the publication of lessons learnt. Under AFCIA II, both an communication and outreach strategy and capacity building strategy (output 1.1) as well as

communication and knowledge management strategy (output 3.3) will be developed and include the following tools and resources lay the foundation for communications activities:

- Branding and Visibility Guidelines: The Guidelines ensure that communication activities of all CTCN partners are implemented in a coordinated way, to ensure the visual consistency of CTCN. For the implementation of this programme, branding and visibility outlines will ensure the use of both AF and UNEP CTCN organizational identity, including logo, fonts, photos, and colour scheme to be utilized in brochures, presentations, and other external communications materials.
- Brochures: Brochures could be designed to explain the overview of the AFCIA II programme, the expectations and rules of the programme and information on how to access the AFCIA II programme. Brochures would be made available in English, French and Spanish.
- Case Studies: It is important to demonstrate what type of assistance the CTCN is providing through the implementation of this programme to countries and to document, to the extent possible, the impact that this micro-grant and the programme has on participating countries. Therefore, once micro-grants have been provided and the climate technology which the NDE has solicited assistance on has been implemented, select case studies will be created and will be distributed as stand-alone documents and incorporated into the CTCN's website, presentations, and brochures, always using both AF and UNEP CTCN identity.
- [CTCN website](#): The CTCN utilizes its website to raise awareness of any work it does including the donor programme, such as the ongoing AFCIA I and this AFCIA II programme but also technical assistance opportunities, events, trainings, as well as a wealth of climate technology information. The site is used extensively by users from developing countries.
- [E-Newsletters](#): Consistent and frequent communication and outreach strategy via CTCN, UNEP, and GAN's e-newsletter raises awareness among readers of the availability of CTCN's services and the status of its current work. It also encourages them to obtain further technology information via the CTCN website (ctcn.org). This tool will be used to inform about the launch of the programme, the micro grants selected, the dates of webinars, and any news that would be worth sharing (publication of stories, technology factsheets, lessons learnt and more).
- [Events](#): Events offer the prospect of promoting the programme in-person or online to groups of key stakeholders. Examples of relevant events include the Conference of Parties, Regional Forums, sectoral and regional conferences, and host-institution conferences such as UNEA. There are several potential fora for events, and these can be organized by any of the following stakeholders: CTCN, Advisory Board members, NDEs, Network members, or participation in existing regional or international events, such as UNFCCC events.
- Image Databank: Photos and graphics help to illustrate the CTCN's work and the technologies that it seeks to transfer to developing countries. These images are utilized in brochures, flyers, the website, presentations, and other promotional materials. The CTCN collects these photos from technical assistance and capacity building implementers and contract photographers to take more high-quality photos of CTCN activities in the field.
- Media Communication and outreach strategy: Media coverage of the CTCN can serve as a message multiplier, reaching broader audiences than more localized communications efforts. Earned media can also drive traffic to the CTCN website and gain the attention of current and existing donors.
- Presentations: Branded and tailored presentations are prepared and delivered at a large variety of events and training courses.
- [Progress report](#): An annual report is a strong way to provide Adaptation Fund and CTCN stakeholders with an overview of the preceding year's accomplishments. The report can be shared to track accomplishments vs. intended outcomes and to inform planning for the next year.
- Mid Term and [Final Evaluations](#) will be delivered.
- Roll ups and banners: Banners and roll-up banners contain introductory text about the programme along with professional design and visuals and are ideal for conferences and promotional events.
- Social Media: social media represents a low-cost tool that combines technology with social interaction and can be used to engage key audiences and maintain their interest in AFCIA II programme. CTCN will regularly provide updates and share success stories on Twitter and Facebook.
- Video: The CTCN will prepare short videos addressing the work achieved and technology issues to be used in social media, presentation and posted on Vimeo and YouTube.
- Working Language: The working language of the CTCN is English. However, given its global nature, it is vital that information is made available in multiple languages. Technical Assistance requests may be submitted in any UN language. Primary promotional materials, including brochures and template presentations, will be translated into French and Spanish. Translation services are procured to support these efforts. Likewise, the CTCN website is available in all official UN languages.

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181. Because of the varying stakeholder groups involved, as well as their geographic and linguistic diversity, it is important to develop specific types of messaging and materials for each group's current and potential members. Tailored promotional materials (videos, animations, infographics, visual displays<sup>41</sup>) are continuously developed and updated for use by CTCN staff, host-organization staff, National Designated Entities and Network members. Also, the CTCN intends to have translated subtitled in videos such as the ones made for the Gender Just Climate Solution Awards<sup>42</sup>.
182. CTCN will use a digital dashboard to inform about the progress of the programme's implementation. This same dashboard has already been active for the management of the AFCIA I programme and gather facts and figures about the progress in the implementation of the AFCIA. The use of this dashboard held under CTCN webpage helps capturing lessons learned, good practices and impact and analyse this information to develop a consolidated reporting and guidance note.
183. The requests received under AFCIA I and AFCIA II will be accessible through the CTCN webpage under the AFCIA I and AFCIA II respective sections. Authorised users will also be able to check the screening of the requests and the final ranking of the requests based on the screening. The implementation status of each micro-grants will be publicly available through CTCN webpage, and all final deliverables will be uploaded into CTCN webpage publicly accessible. Finally, under the "Facts and figures" sections, the work of the CTCN could be filtered by programme (including AFCIA I and AFCIA II).
184. Also, Digital Public Goods will be developed under AFCIA II to connect the programme with a wide range of stakeholders and stimulate participation from internal and external audiences.
- J. Describe the consultative process that would take place, and how will it involve all key stakeholders, and vulnerable groups, including gender considerations.**
185. AFCIA II programme will test, scale up and leverage innovative, transformative, and locally led technologies requests submitted by non-Annex I countries on a country-driven basis as per the mandate of the CTCN. As a lesson learnt from AFCIA I, the requests will be received on a rolling basis, continuously between January 2025 to January 2028. UNEP CTCN communication and outreach strategy will be effective in building pipelines of climate adaptation technologies in developing countries with a strong focus on LDCs and SIDs.
186. Wide multistakeholder consultations and co-design process will be organized from the selection process of the micro-grants to the end of the project's implementation. The NDE, the project proponents and if possible, the DA/NIE of the Adaptation Fund will be involved since the formulation of the Response Plan (Term of References) to the closure of the project. Selected stakeholders will be involved during the implementation including governmental entities, private sector, academia and civil society, women and youth representatives, indigenous and vulnerable groups as well. For UNEP CTCN, AFCIA II expects to further engage with public institutions during the launch and inception phase of the programme, to encourage academia, universities, think tanks, centres of research to submit requests. Targeted information sessions about the programme will be promoted and organized through CTCN and UNEP network and regional offices. For this purpose, UNEP CTCN have developed a Stakeholder Engagement Plan (please refer to annex H and an implementation arrangements figure at stakeholder level that can be seen under Part III, Section A, figure 6. The Stakeholder Engagement Plan reflects that meaningful consultation and engagement processes is a strategic priority embedded in the environmental and social management system for the United Nations Environment Programme (hereby UNEP) and the Adaptation Fund Secretariat for the implementation of UNEP CTCN AFCIA II programme. This section will assist UNEP and the project team facilitate participation, engagement, conflict mitigation and decision-making by all relevant stakeholders (including communities) likely to be involved in and/or affected by the project. It will ensure that these actors are provided with sufficient opportunity to voice their opinions and concerns (should there be any) that may influence project decisions.

<sup>41</sup> <https://www.youtube.com/watch?v=yZMLQyCz3w&list=PLdL4CIDXOyPdHeZ92DIaT7ae4uSaiAed5>  
<https://www.ctc-n.org/capacity-building/youth-climate-innovation>

<sup>42</sup> <https://www.youtube.com/watch?v=KqEKT-3vPLo&list=PLdL4CIDXOyPe8LJFbUleVoEka5pDb4CM->

Annex H presents: a) a summary of stakeholder consultations organized during the formulation of the AFCIA II proposal b) an overview of the stakeholder engagement activities undertaken during micro-grant projects formulation; c) a mapping of stakeholders which will be engaged during project implementation; d) a stakeholder engagement plan, technically and culturally appropriate for Developing countries and e) an appropriate grievance mechanism.

187. The consultative process will also be ensured through CTCN's model and the support of the Advisory Board that will be involved since the early stage of the projects and include:
- 16 government representatives, comprising equal representation from Annex 1 and non- Annex 1 Parties
  - The Chair and the Vice-Chair of the Technology Executive Committee (TEC)
  - A representative of the Green Climate Fund Board
  - A representative of the Adaptation Committee
  - A representative of the Standing Committee
  - The Director of the CTCN; and
  - One representative of each of environmental non-governmental organizations (ENGOS), business and industry non-governmental organizations (BINGOs) and research and independent nongovernmental organizations (RINGOs).
  - Women and Gender Constituency

Gender, youth, and indigenous communities are represented through the Advisory Board of the CTCN. The risks of the micro-grants on vulnerable communities and gender will be assessed through the screening and the Safeguard Mechanism process (SRIF), at the Response plan formulation phase, based on the stakeholders' consultations. Should the gender risk be rated as medium or high, a gender action plan will be defined at project level. During the implementation, a detailed Gender Assessment and its respective GAP aligned with the technology and local context will be undertaken at project level as a mandatory requirement from the CTCN and aligned with the decision of the 22<sup>nd</sup> Advisory Board to use at least 5% of the Budget of the Technical Assistance to gender mainstreaming activities. Please refer to paragraph 162.

188. As a Convention Body, the CTCN regularly engages with the UNFCCC Women's Constituency, including on an annual Gender-Just Climate Change Solutions awards and capacity building programme. The project proposal was shared with this group to ensure that the gender perspective is adequately and appropriately reflected. Also, the Monitoring, Evaluation and Learning system will include gender and youth indicators at all stage of the implementation of the technical assistances, through the M&E report (at start of the implementation), Result tracker (during implementation yearly) and at closure through the closure report. Also, as per decision AB/2023/22/23 and aligned with updated CTCN Gender Policy at least 5% of the budget of the technical assistances will need to be used for gender mainstreaming. Please refer to paragraph 162.

**K.** Describe how the project/programme draws on multiple perspectives on innovation from e.g., communities that are vulnerable to climate change, research organizations, or other partners in the innovation space, in the context in which the project/programme would take place.

189. According to the UNFCCC, adaptation action should follow a country-driven, gender-responsive, participatory, and fully transparent approach, and should be based on and guided by the best available science to integrate adaptation into relevant socioeconomic and environmental policies and actions<sup>43</sup>.
190. The CTCN delivers assistance to many countries and a broad range of sectors through a unique partnership model that leverages the expertise of its host UN agencies, along with a global network of over 7A00 academic, civil society, finance, private sector, and research institutions, as well as National Designated Entities from over 160 countries, to provide customized technology solutions. The private sector makes up nearly 50 percent of the Climate Technology Centre and Network, most of whom represent small and medium-sized enterprises where many innovative mitigation and adaptation technologies are being developed and adapted. The CTCN serves as a technology broker, connecting countries' needs to partner that can provide the technologies, capacity building, knowledge and finance they seek.
191. The main beneficiaries of the AFCIA II programme will be the developing countries especially the LDCs and SIDS, with the only restriction to work through National Designated Entities (NDEs). Stakeholders

<sup>43</sup> [https://unfccc.int/files/meetings/paris\\_nov\\_2015/application/pdf/paris\\_agreement\\_english\\_.pdf](https://unfccc.int/files/meetings/paris_nov_2015/application/pdf/paris_agreement_english_.pdf)

in developing countries, via NDEs, are the direct beneficiaries of CTCN technical assistance and knowledge transfer. This is aligned with the CTCN mandate in directly responding to identified needs in a country-driven approach.

192. The implementation of the AFCIA II programme will involve a wide variety of stakeholders from the public sector and industry, including government officials, international donors and financial institutions, private sector companies, and civil society at both the international and national levels.
193. By applying CTCN delivery model (please refer to paragraph 28-35), the requests can be submitted by all kind of project proponents. As no direct assets will be transferred to either the project proponent or the country there is no limitation with regards to financial statements. Any public, private, or non-governmental institutions can submit technological idea to the NDE for endorsement. The NDE will be the entity in charge of applying the first filter in the selection of the requests that are submitted to the CTCN by prioritizing the requests aligned with national priorities and strategies. This is defined in the mandate of the NDEs, available in the CTCN webpage<sup>44</sup>. Also, the technology concept provides a table under the section "alignment with national priorities" through which the proponent is expected to reflect the link of the request with the NDC, TNA, NAP, and other as relevant. This template is available in Annex C. Finally, the alignment of the requests with national strategies is also defined as an eligibility criterion used by the CTCN that will be used during the screening of the requests (please refer to paragraph 75).
194. Based on the lessons learnt from AFCIA I, UNEP CTCN will put in place an adequate support system to ensure that capacity is built among non-conventional stakeholders so they can submit high quality proposals (Outcome 1).

L. Provide justification for funding requested, focusing on the full cost of adaptation reasoning.

*Neither the programme, nor the individual small grant projects will be required to provide co-financing, in line with the Fund's mandate to finance the full cost of adaptation. However, co-financing would be considered a positive addition to the initiative, including top-ups of the programme.*

195. Article 10, paragraph 5 of the Paris Agreement highlights the central importance of innovation to meeting the many challenges posed by climate change. Furthermore, 95 % of all non-Annex I countries mention innovation and technology in their Nationally Determined Contributions (NDC). Parties to the UNFCCC recognize that adaptation is a global challenge and a key component of the long-term global response to climate change to protect people, livelihoods, and ecosystems.
196. Successful adaptation requires collaboration between governments and stakeholders, including civil society, across regions and sectors. Developing countries face economic, institutional, or technological barriers through the transfer and acceleration of climate technologies. Such barriers include a lack of capacity, access to finance and the absence of a coordinated community of knowledge and expertise. According to the UNFCCC, the most reported barriers to the development and transfer of the prioritized technologies for adaptation are the development and transfer of the prioritized technologies: economic and financial; policy, legal and regulatory; institutional and organizational capacity; and technical. Despite the importance placed on innovation and technology, uptake has been slow, especially with regards to adaptation. The Technology Framework of the UNFCCC notes that, "there is a pressing need to accelerate and strengthen technological innovation so that it can deliver environmentally and socially sound, cost-effective and better-performing climate technologies on a larger and more widespread scale"<sup>7</sup>.
197. Adaptation innovations and technologies still face a significant investment gap, especially with regards to private finance flows. There are currently very few funds specifically focused on adaptation innovation and technology. Other than the Adaptation Fund and the CTCN, which has been limited by its resources, there is Private Finance Advisory Network (PFAN) and the planned GCF incubator and accelerator initiatives are among the few innovation initiatives with a focus on adaptation. The supply side for technology offering is weak in many developing countries and does not cover the full range of

<sup>44</sup> [https://www.ctc-n.org/sites/www.ctc-n.org/files/annex\\_1\\_national\\_designated\\_entities\\_-\\_roles\\_and\\_responsibilities.pdf](https://www.ctc-n.org/sites/www.ctc-n.org/files/annex_1_national_designated_entities_-_roles_and_responsibilities.pdf)

climate impacts, particularly LDCs, and the enabling environment for technology innovation for adaptation is a critical constraint.

198. Still according to the 2021 Adaptation Gap Report prepared by UNEP<sup>45</sup> and “based on a combination of global integrated, global sectoral, and national studies, the annual costs of adaptation in developing countries could be between US\$160 billion and US\$340 billion by 2030. With increasing levels of climate change, this annual cost is projected to increase to between US\$315 billion and US\$565 billion by 2050. The costs of adaptation are lower if the Paris Agreement goals are met, especially in the medium to long term.” There is an urgent need for the mobilization of public and private finance for adaptation. To mobilize resources at such a scale, efforts to provide evidence of the effectiveness of adaptation innovations, along with actions to incubate and accelerate new tools, approaches and technologies are required. Adaptation Gap report from 2023 states that “overall, it is clear that SIDS and LDCs continue to require financial and technical support to advance their adaptation planning, with a particular focus on capacity-building in vertical integration and M&E. Moreover, macrolevel (i.e. supranational) transformative policies could significantly boost the capacity of SIDS and LDCs to access support and, in some cases, make more support available”<sup>46</sup>.
199. In reference to the co-financing, the CTCN offers to co-finance the support that LDC, SIDS or other developing countries may require to develop quality requests (please refer to the budget in annex D). That would include the following flexibility on the submission process:
- NDEs from LDC and SIDS will be offered the possibility to submit briefs of requests to the CTCN before preparing the full request application. This email will only need to state an indicative title, sectors to be covered by the requested Technical Assistance, expected outputs and results to be achieved by the TA.
  - Based on this email submission, the CTCN will organize a call with the NDE and the project proponent to discuss the requests and define whether it could or not be eligible, and how it could be improved.
  - If a request is aligned with eligibility criteria, the CTCN will help the country in developing the full application form until official submission is made. This will be fully co-funded by the CTCN.
  - Connection with the Adaptation Fund Focal Point will be made once the request is fully formulated for its review and comments.
200. In reference to top-ups that could be added to the programme, UNEP CTCN proposes to apply to AFCIA II programme some innovative concepts that have been mandated to the CTCN for its new Programme of Work, such as the establishment or improvement of National Systems of Innovation (please refer to paragraph 22) and digitalization using innovative instruments including Digital Public Goods (please refer to paragraph 22). AFCIA II programme will also benefit from any new requirements that could be requested to the CTCN through the Advisory Board or through COP decisions. From previous COP in Egypt, CTCN was requested for example to further develop the programmatic and multi-country approach (please refer to paragraph 61-62).
201. CTCN is facilitating a network of national, regional, sectoral, and international technology networks, organizations, and initiatives with a view to implementing technical assistance in a resource efficient manner while promoting participatory, inclusive approaches ensuring social and gender justice. For more information about the network, please refer to paragraph 4.
202. On knowledge sharing and comms, CTCN aims to reinforce the capacity of countries to facilitate information-sharing, collaboration, and networking. This will enable the exchange of best recommended practices, experience and knowledge on technology development and transfer and on endogenous technologies. This also involves strengthening the capacity of countries and communities to be more resilient and to cope better with climate change impacts, in terms of skills and the ability to access suitable finance for scale up and replicative actions.

<sup>45</sup> [https://www.unep.org/resources/adaptation-gap-report-2022?qclid=CjwKCAjwvJyBhApEiwAWz2nLRYQv4gB6knOfZXun1nwgOD5BNOMpLlIdaZ-ZGGfAnXB4cZWjcJd1ihoCWSEQAvD\\_BwE](https://www.unep.org/resources/adaptation-gap-report-2022?qclid=CjwKCAjwvJyBhApEiwAWz2nLRYQv4gB6knOfZXun1nwgOD5BNOMpLlIdaZ-ZGGfAnXB4cZWjcJd1ihoCWSEQAvD_BwE)

<sup>46</sup> [https://reliefweb.int/report/world/adaptation-gap-report-2023-underfinanced-underprepared-inadequate-investment-and-planning-climate-adaptation-leaves-world-exposed-enru?gad\\_source=1&qclid=CjwKCAiApuCrBhAuEiwA8VJ6JsWmKsmCQ1EEydLkcK2Qr6-WoijBhpwtdyH1tZ7Qu\\_-hGq7HQYaZBoCDP8QAvD\\_BwE](https://reliefweb.int/report/world/adaptation-gap-report-2023-underfinanced-underprepared-inadequate-investment-and-planning-climate-adaptation-leaves-world-exposed-enru?gad_source=1&qclid=CjwKCAiApuCrBhAuEiwA8VJ6JsWmKsmCQ1EEydLkcK2Qr6-WoijBhpwtdyH1tZ7Qu_-hGq7HQYaZBoCDP8QAvD_BwE)

- M. Describe how the sustainability of the programme outcomes has been considered when designing the programme, including in the screening of the innovation small grants projects. Describe the pathways to scale up successful small grant's projects.  
*The programme should include, in its design, pathways for scaling up, i.e., the process by which successful or promising innovations will be directed towards replication and/or scaling up, including for Adaptation Fund's financing window Large Innovation Projects/Programmes for the exceptionally promising small grants.*

#### Sustainability of the programme outcomes

203. To ensure the sustainability of the programme, it will be key for UNEP CTCN to ensure that AFCIA II is responding to local needs and tailored to the needs of individual country contexts. This will be ensured through CTCN's country demand driven delivery model as well as by applying the screening of the requests based on the eligibility, prioritization, and eligibility criteria (please refer to paragraph 75) that will ensure that the selected micro-grants promote innovative, transformative, gender-responsive and locally led technology aligned with local context. This will be undertaken at project level during the design, implementation, and closure stage. For more information about the alignment of the programme with the gender policy of the Adaptation Fund, please refer to paragraph 162.
204. CTCN will ensure that each micro grants are owned by country stakeholders, to increase their sustainability, scalability, and impacts. To do so, CTCN proposes that:
- Micro-grants are in line with **country priorities and address barriers** impeding effective technology transfer. This will include priorities included in countries' Nationally Determined Contributions, in Technology Needs Assessments (TNA) and Technology Action Plans (TAP), in National Adaptation Plans (NAPs) and National Adaptation Programmes of Action (NAPAs).
  - **National stakeholders are engaged** from early stages of the projects, in the design and implementation of the assistance. CTCN experience has demonstrated that the most effective TA services are implemented when undertaken in conjunction with **well positioned local partners**. This will also include efforts to reinforce private sector engagement as part of these efforts.
  - **Capacity building** will be an important building block of the micro-grants programme, based on country needs, to enable transfer of expertise and knowledge and increase capacities of national actors to identify technology options, make technology choices and operate, maintain, and adapt technologies.
  - **NIEs and NDEs will be strongly engaged**, and their capacities built, engaging them in micro-grants implementation as well as key regional events. This will contribute to create opportunities not just for sharing common experiences but to build relationships, leading to more active focal points, higher quality of micro-grants submission and scale-up of project results.
  - **Replication and learning** will be an integral part of the micro-grants process, to enable the exchange of best practices, experience and knowledge on innovation and technology development and transfer.
205. The CTCN considers that NDEs will be critical to sustain a vastly improved enabling environment which will facilitate the piloting, up scaling and leveraging of the innovative, transformative, and locally led technologies selected to be demonstrated under AFCIA II. NDEs will be encouraged by the CTCN to work in collaboration with Adaptation Fund NIE and DA. For this purpose, the CTCN will request to include Adaptation Fund focal points as mandatory stakeholders in the session dedicated to the mapping of stakeholders of the response plans (Terms of references). The establishment or improvements of National Systems of Innovation will also support the creation of an enabling environment that will not only be used to support local actors, but also to build the capacity of countries which is fundamental for the sustainability of AFCIA II programme.
206. Securing engagement from stakeholders during implementation which should be ensured through the involvement of the main stakeholders from the Response Plan's stage until the closure of the project and beyond. Only project signed by NDEs will be deemed eligible. The endorsement of the request by Adaptation Fund's focal point(s) will also be intended to further secure the involvement of the countries and ease the implementation of the project. The increased participation and accountability of multiple stakeholders (e.g., the private sector, local communities, Non-Government Organizations) in actions, decision-making and monitoring will ensure sustainability. The interventions under this project will help

build a case for sustained government investment with the help and guidance of UNEP Regional offices. CTCN will liaise with UNEP Regional Offices at this early stage of selection to build synergies and avoid duplications with other projects/programmes (if any) already implemented, under implementation or under discussion in the country. UNEP regional offices will also provide support to reach local stakeholders beyond NDEs through their networks. UN RC and UNCT will also be engaged when and if relevant.

207. Capacity building and knowledge sharing will be ensured through a continuous and transversal output (3.3). This will promote continuous transfer of knowledge at regional level as well as under a sectorial approach. This component is also vital for securing long term sustainability and will be done through digitalization instruments to have the wider and broader impact possible. Many NDEs may require additional technical support to enable them to deliver on these services. This will aid in accelerating the deployment and transfer of technologies both in terms of hardware as well as soft knowledge/orgware.

Technology development is a strategic priority for the Adaptation Fund in their medium term strategy. Considering that, for success, we need to broaden the reach and impact of AFCIA, we have added to the AFCIA coordination services project the proposal for regional innovation hubs that would bring together all AFCIA partners of a particular region that, over time, we expect to become embedded and legitimized in the adaptation ecosystem. These will develop government leadership for adaptation technology development, bringing together diverse set of public and private sector stakeholders to strengthen innovation, business skills and financing. The expectation is two-fold: that, over time, regional and national systems of adaptation innovation will be created; and that a global community of practice on adaptation technology development will be created, inspiring youth engagement and climate action from the ground-up. As the AFCIA programme expands in future years, we expect that more and more entities will contribute resources to the programme.

- N. Provide an overview of the environmental and social impact and risk screening process that will be put in place for the subgrant project.

208. AF ESP policy which is fully aligned with UNEP safeguard policy will be applied to identify and manage risks and ensure that no negative impacts are expected because of the implementation of the micro-grants. The SRIF is developed during the identification and formulation of the project or programme, in alignment with the Adaptation Fund's Environmental and Social Management System (ESMS) procedures. The SRIF rates the level of risks of the technical assistance as defined in Adaptation Fund's 15 principles, the Adaptation Fund ESP and ESMS. At response plan stage, the Gender Assessment will be ensured through the SRIF. At implementation level, a detailed gender assessment and its respective GAP will be undertaken and aligned with the technology and local context (as a mandatory activity to be undertaken by each selected Technical Assistance). The SRIF is informed by in-country consultations and cleared by UNEP safeguards officer. Under AFCIA II, projects with low risks (Category C<sup>47</sup> as per Adaptation Fund's ESMS) will be prioritised while projects with high risk will not be selected. If medium risk is identified, a management and /or gender action plan will be developed and approved at project level, using the AF ESP policy, to mitigate and monitor the risks during the project implementation. Adaptation Fund ESP policy is fully aligned with UNEP ESSMF, so is the SRIF with Adaptation Fund's 15 principles as reflected in Annex B. In compliance with the Adaptation Fund Environmental and Social Management System (ESMS), the delivery process for the ESP will include:

- an environmental and social risks identification through the SRIF
- an environmental and social assessment through the approval of the SRIF by UNEP Safeguard officer

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<sup>47</sup> Risk Category C as per Adaptation Fund's ESMS: Programme and projects with minimal or no adverse environmental and social risks and impacts. Low Risk programmes and projects typically do not require further environmental and social analysis or management measures beyond the application of the Guiding principles, stakeholders' engagement and access to complaints and grievance processes.



- an environmental and social management planning for projects that would have been identified as medium and high risk by the SRIF or by the definition of mitigation measures for the low risks (Category C as per Adaptation Fund's ESMS) identified
- monitoring, reporting, and evaluation of the risks will be ensured yearly through the PPR
- public disclosure and consultation will be ensured by the CTCN during the formulation of the Response Plan and throughout the implementation of the technical assistance
- and finally, the establishment of a grievance mechanism that will be accessible through CTCN's website and communicated to the stakeholders during the inception workshop.

For each micro grant project, an ESP checklist will be filled in based on the UNEP Safeguard Risk Identification Form (SRIF). Results of individual projects ESP screening process will be reflected under section 5 of the ESP compliance sheet of the PPR. In addition the programme ESMP will be updated annually through the PPR using the ESP compliance sheet section 1 table.

209 Monitoring of the identified risks will be ensured continuously by the implementer. Monitoring reporting and evaluation will be ensured every year during the PPR.

A Grievance Redress Mechanism following UNEP and Adaptation Fund guidelines will be established. The mechanism will be explained in the dedicated webpage created specifically for this Programme under CTCN webpage. Also, reference to this program Grievance Redress Mechanism will be made in the Response Plan (term of Reference) that are publicly available in CTCN webpage. This mechanism will also be described and explained during the kick-off call and inception meeting to ensure that all key stakeholders involved in the implementation of the micro-grants are aware of this modality and understand how to access it should it be needed.

TABLE 13-- CHECKLIST OF ENVIRONMENTAL AND SOCIAL PRINCIPLES

Checklist of environmental and social principles	No further assessment required for compliance	Potential Impact and risks – further assessment and management required for compliance.
<i>Compliance with the Law</i>	The programme will be implemented in alignment with the Adaptation and UN rules and regulations. Alignment of micro-grants with national laws, regulations and strategies will be ensured through CTCN screening process. (Please refer to Part II- Section F as well as the selection criteria under table 4,5,6 for further details. )	
<i>Access and Equity</i>		There is a risk that the most vulnerable groups might have no access to project benefits because of inexistent mechanisms to ensure participation of communities, marginalized and vulnerable groups, and stakeholder as well as local authorities' (Component 1,2 and 3).
<i>Marginalized and Vulnerable Groups</i>		There is a risk that the most vulnerable might have no access to project benefits because of inexistent mechanisms to ensure

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		participation of communities, marginalized and vulnerable groups and stakeholder as well as local authorities (Component 1,2 and 3).
<i>Human Rights</i>	The core of the programme is to promote climate adaptation technologies and to protect in all cases life and quality conditions of all human beings. Pre-selected projects will be analysed through the SRIF which is aligned with AF ESP policy. (Please refer to paragraph 80, Part II – Section D, Part III – Section C and Annex B).	
<i>Gender Equity and Women's Empowerment</i>		There <b>is a risk</b> that either women or men has unequal opportunities to participate to the projects / programme considering their working schedules or lifestyles. (Component 1, Component 2 and 3). CTCN will be working mainly through governments (NDE and DA are nominated by the governments). In this context it can be difficult to reach women among direct beneficiaries (as they are in minority within government staff especially in LDCs and SIDS). It is also a challenge that has been raised in AFCIA I's MTR.
<i>Core Labour Rights</i>	The programme will be executed by UNEPs standards, which apply all core labour standards as identified by the International Labour Organization (ILO). Please, refer to Table 22 (Annex B) of the proposal (SRIF).	
<i>Indigenous Peoples</i>		There <b>is a risk</b> that Indigenous Peoples have unequal opportunities to participate to the programme considering their working schedules, lifestyles, or languages. (Component 1, 2 and 3).
<i>Involuntary Resettlement</i>	The programme will implement small scale Technical Assistances (no large-scale hard infrastructure will be funded) and will not fund any projects looking at resettlement solutions. Please refer to the programme description – Part II- Section A.	

<i>Protection of Natural Habitats</i>	No risk is foreseen involving unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities as the programme aims at increasing the resilience of the developing countries to Climate Change in respect of the human, animals and nature and will be aligned with the AF and UN rules and regulations. Protection of nature Habitats will be screened at sourcing stage (Please, refer to paragraph 80, Part II- Section D, Part III- Section C, Annex I and J). Piloting technologies or innovation will only be done at small scale through the TA and associated appropriate studies including environmental impact assessments will be conducted if needed to ensure that such risks are avoided	
<i>Conservation of Biological Diversity</i>	There is no risk of involving unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities as the projects and programme aims at increasing the resilience of the developing countries to Climate Change in respect of the human, animals and nature and will be aligned with the AF and UN rules and regulations. Conservation of Biological Diversity will be screened at sourcing stage (Please, refer to paragraph 80, Part II- Section D, Part III- Section C, Annex I and J). Piloting technologies or innovation will only be done at small scale through the TA and associated appropriate studies including environmental impact assessments will be conducted if needed to ensure that such risks are avoided	
<i>Climate Change</i>		The programme aims at testing Climate Change adaptation technologies. There is a risk that the projects/ programme could be impacted by climate change hazard which could have repercussion on the implementation (such as delays in the expected calendar) .
<i>Pollution Prevention and Resource Efficiency</i>	No risk of pollution is foreseen as the project will implement small scale Technical Assistances (no large-scale hard	

	infrastructures <sup>48</sup> will be funded). Please, refer to the programme description, Part II – Section A. Piloting technologies or innovation will only be done at small scale through the TA and associated appropriate studies including environmental impact assessments will be conducted if needed to ensure that such risks are avoided	
<i>Public Health</i>	No risk to public health is foreseen due to the nature of technical assistance related activities including mostly capacity building, studies... and small-scale testing of new technologies/innovations. In no circumstances, projects that would increase GHG emissions or impact negatively public health would be selected under AFCIA II. Please, refer to the programme description, Part II – Section A.	
<i>Physical and Cultural Heritage</i>	There is no finding that the project could cause any alteration, damage, or removal of physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Projects will not interfere with existing access and use of such physical and cultural resources. The Project will not be implemented in areas with unique natural values recognized at the community, national or international level, heritage recognized by 1972 UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage. Please, refer to Table 22.	
<i>Lands and Soil Conservation</i>	No risks on the land and soil conservation are foreseen. The objective of the project is to increase the resilience to Climate Change of the developing countries. Accordingly, AFCIA II will pay particular attention to key ecosystems and their services that are critical for adaptation and resilience including land and soil. Please, refer to the project description, Part II_ Section A. Piloting technologies or innovation will only be done at small scale through the TA and associated appropriate studies including environmental impact assessments will be conducted if needed to ensure that such risks are avoided	

Annex J provides details on the ESP risk identification, impact assessment, ESMP and risk categorization.

<sup>48</sup> **Hard infrastructures** are **tangible or built infrastructure**, such as physical infrastructure of roads, bridges, tunnels, railways, ports, and harbors, among others.

### PART III: IMPLEMENTATION ARRANGEMENTS

- A. Describe the arrangements for project / programme management at the regional and multi-regional level, including coordination arrangements within countries and among them. Describe how the potential to partner with national institutions, and when possible, national implementing entities (NIEs), has been considered, and included in the management arrangements.

*As per Document AFB/B.25/6/Rev.2, regional project and programme proposals are allowed a higher and more flexible maximum level for administration costs, to help ensure regional cooperation, and, as such, the maximum level for the implementing entity management fee. For regional projects/programmes, the administrative costs (Implementing Entity Management Fee and Project/ Programme Execution Costs) at or below 10 per cent of the project/programme for implementing entity (IE) fees and at or below 10 per cent of the project/programme cost for the execution. In case the IE is serving as EE, which is acceptable AFB/PPRC.24/4 9 only under exceptional circumstances and must be well-justified, the execution cost should be limit to 1.5% of the part of the project/programme executed by the implementing entity. If the actual execution costs of the IE exceed the 1.5% cap a justification should be provided. As with regional projects and programmes, proposals for AFCIA programmes need to provide budgets for these two categories.*

*The arrangements for ensuring country-drivenness, in case where Letters of Endorsement from the Designated Authorities of the Fund are not provided at submission, should be described, including a timeline and point in process where such letters will be obtained and when and how they would be submitted to the AFB secretariat.*

210. The United Nations Environment Programme (UNEP) is the leading global environmental authority that sets the global environmental agenda, promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system and serves as an authoritative advocate for the global environment. UNEP's [Medium-Term Strategy](#) (MTS) and climate change sub-programme prioritizes support to government and non-government development partners to ensure that development plans and actions are compatible with the long-term mitigation and resilience goals of the Paris Agreement. Within the MTS 'Climate Action' and 'Living in Harmony with Nature' are two of three strategic priorities (the other being a pollution-free planet) and the approach is underpinned by science; and environmental law and governance and facilitated by financial and economic transformation; and digital transformation. The MTS also commits UNEP to focus particularly on supporting adaptation in "the countries that are most vulnerable and most in need, such as disaster- and conflict- affected countries."

UNEP works with international, regional, and national partners, providing technical assistance and advisory services for the implementation of environmental policy, and strengthening the environmental management capacity of developing countries and countries with economies in transition. UNEP adaptation policy and advocacy initiatives enhances the implementation of the UN Framework Convention on Climate Change (UNFCCC) and Paris Agreement decisions including, for example, co-hosting the Climate Technology Centre and Network (CTCN), supporting developing countries on their National Communications, National Adaptation Plans (NAPs), and Nationally Determined Contributions.

211. UNEP has implemented over 70 climate change adaptation projects at all levels (global to local) to date covering more than 60 countries with a total grant investment of over \$340 million coming from various donors including the Adaptation Fund (AF), the Global Environment Facility (GEF) and the Global Climate Fund (GCF). These projects develop innovative solutions for national governments and local communities to adapt to the effects of climate change in an environmentally sound manner including enhancing climate resilience by restoring valuable ecosystems. Investments into ecosystems, flood and coastal protection, water catchment and storage, and alternative livelihoods aim at helping people buffer climate change impacts including droughts, floods, sea level rise and cyclones among others.
212. A description of the implementation arrangements is provided in the two figures below and clarifies the roles and responsibilities of each entity in the implementation of UNEP CTCN AFCIA II proposal.
- 213.

UNEP will oversee the project and provide the technical assistance/capacity building required to achieve its objective, and to ensure consistency with Adaptation Fund and UNEP policies and procedures. This supervision / oversight function will be the responsibility of the Climate Change Adaptation Unit's Task Manager. UNEP will commission the Mid-term Review and an independent final evaluation.

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The Climate Technology Centre and Network (CTcN). will execute the programme. The functions comprise day to day implementation of project activities, the preparation and implementation of work plans and budget revisions; logistical support; disbursement of funds, financial management and associated reporting; recruitment/supervision of national and international consultants and personnel; coordination with national focal points and project proponents.

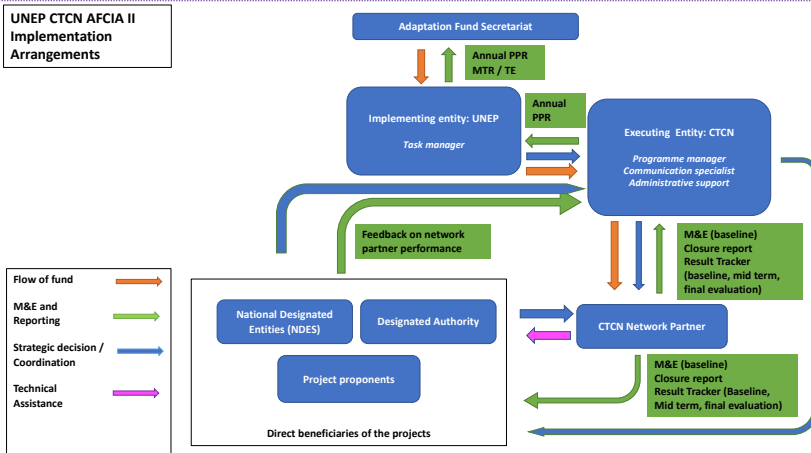
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The implementation of the Technical Assistances will be ensured by a Network Partner of the CTCN as per the CTCN 's delivery model. The roles and responsibilities of the Network Partner will be to implement the activities defined in the Response Plan (Terms of References) and deliver the expected deliverables, products, services and technologies in a timely manner and in accordance with the approved budget. The Network Partner of the CTCN will also be in charge of provide Monitoring and Evaluation reports including the M&E at the start of implementation to define the baselie, the closure report and the Result Tracker at the start, mid term implementation and closure of the project.

Direct Beneficiaries of the projects will be :

- The NDE: The National Designated Entity will endorse the Technical Assistances, and is a mandatory member of the Steering Committee. NDEs will be in charge of supervising the implementation of the projects, of approving the deliverables, and of evaluating the results of the Technical Assistance.
- The Designated Authority will also be a mandatory member of the Steering Committee and will have the opportunity to approve all the deliverables and participate to all and any meetins, events, conferences, stakeholders engagement that will be organised during the implementation of the TA implemented in their respective countries.
- The Project Proponent(s) is the initiator of the request. It will be a mandatory member of the Steering Committee and will have a role of revising and approving all the deliverables and participate to all and any meetins, events, conferences, stakeholders engagement that will be organised during the implementation of the TA

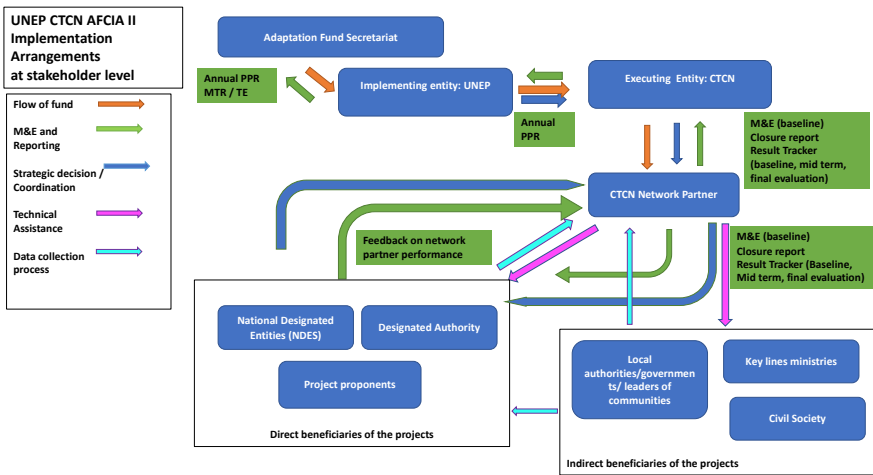
FIGURE 5- UNEP CTCN IMPLEMENTATION ARRANGEMENTS



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The Indirect beneficiaries of the projects are the local communities, local authorities / governments and the civil society that will be mapped and will be involved in data collection and feedbacks collection on the implementation and results achieved by the Technical Assistance.

FIGURE ~~ERROR! UNKNOWN SWITCH ARGUMENT~~ - IMPLEMENTATION ARRANGEMENTS AT STAKEHOLDERS LEVEL



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214. The following implementation services under the MIE modality will be provided by UNEP for the proposed project:

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- Facilitate the interactions with the Adaptation Fund Board and related stakeholders.
- Provide oversight of portfolio implementation, technical advice, and adaptive management
- Provide quality assurance and accountability for outputs and deliverables at the project development phase, during implementation and on completion.
- Ensure receipt, management, and disbursement of Adaptation Fund funds in accordance with the financial standards of the Adaptation Fund.
- Support information/communication management and experience sharing through the development of articles, integration of case studies into bigger UNEP publications, participating to webinars and events, maintaining project databases to share programme information with a wide audience.
- Support and ensure the quality of monitoring, review and evaluation processes including the annual Project Performance Report (PPR), Mid-term Review (MTR) and Final Evaluation (FE) for project performance.
- Ensure incorporation of lessons learned/best practice to improve implementation and future/similar programmes.

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215. All operations under this grant will be conducted in accordance with UN governance structure and management procedures, as well as UN standards for accountability, transparency, and ethical integrity. Same implementation arrangements than for AFCIA I will be followed as UNEP and CTCN were able to good complementarities and strong working relationship. In addition, An internal legal agreement will be signed between UNEP and CTCN to reflect the Terms and References of UNEP CTCN AFCIA II proposal

Further communication with UNEP regional offices will be ensured during the screening and selection process of the technical assistances to ensure homogeneity, complementarity of the work implemented in the region. UNEP Regional Offices will be involved in the selection process and offered the possibility to provide their recommendations to ensure homogeneity in the work implemented by UNEP in the region avoid duplication of efforts, increase the impact of the action and benefit from a wider dissemination of the initiatives. UNEP CTCN will take advantage of UNEP's partner's networks to communicate widely to the largest scope of audiences about AFCIA II.

Continuous communication between UNEP and CTCN comms teams will be set-up through trimestral calls to increase the understanding and knowledge that the audiences have of the AFCIA II programme and support the reception of high-quality requests

**Executing Entity – programme level**

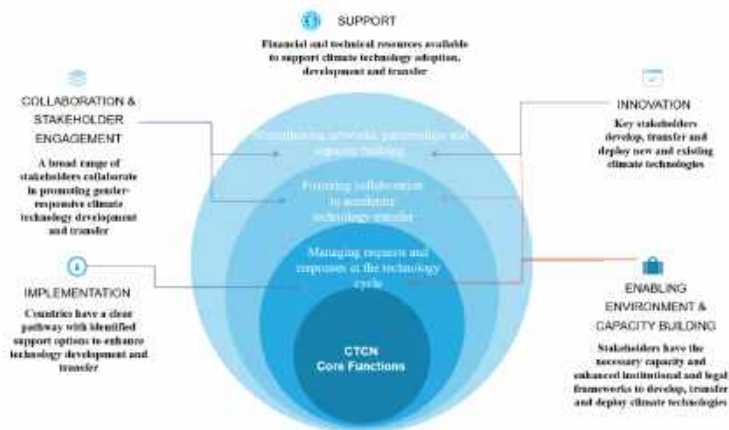
216. The Executing Entity for this project will be the Climate Technology Centre and Network (CTCN) which is a body of the UNFCCC with the stated mission to stimulate technology cooperation, to enhance the development and transfer of technologies and to “support Parties to achieve their commitments to the Paris Agreement through Technology Development and Transfer to implement their NDCs, improve resilience to climate change impacts and reduce Green House Gas Emissions”.

The CTCN will execute the programme. The functions are described under paragraph 216 and figure The new Programme of Work of the CTCN intends to deliver on the following outcomes:

- Outcome 1. Countries can accelerate innovation at different stages of the technology cycle through collaborative approaches.
- Outcome 2. Countries have clear pathways and options to enhance inclusive, gender-responsive, technology development and transfer, including endogenous and indigenous technologies.
- Outcome 3. Countries have enhanced enabling environments, including policy and regulatory environments to develop, transfer and deploy climate technologies.
- Outcome 4. Stakeholders are actively engaged and have strengthened capacity to implement climate action through collaboration.
- Outcome 5. Countries have access to Technical Assistance and financial support to enhance the development and transfer of gender-responsive technologies.

217. The technology framework is designed to help realize both the long-term vision for technology development and transfer of the UNFCCC and Article 10 of the Paris Agreement to strengthen the global response to the threat of climate change as demonstrated by figure 9. Key themes are innovation, implementation, enabling environment and capacity-building, collaboration and stakeholder engagement, and support.

FIGURE 7- CONSIDERATION OF TECHNOLOGY FRAMEWORK THEMES IN CONTEXT OF FUNCTIONS ASSIGNED TO CTCN (DECISION 1/CP.16, PARAGRAPH 123)



218. The CTCN operates under the guidance of its Advisory Board, and following the proposal submitted to the UNFCCC secretariat through the process agreed by Parties to the UNFCCC. The CTCN, as hosted by UNEP will also involve Regional Offices in the process of selection of the micro-grants.



The Advisory Board is mandated by the UNFCCC COP to, amongst other: 'Ensure the application of fiduciary standards, and legal and ethical integrity; and monitor, assess and evaluate the timeliness and appropriateness of the responses of the Climate Technology Centre and Network to requests. Furthermore, the UNFCCC COP mandates periodic assessments of the Technology Mechanism, including the CTCN. The results of the periodic assessment are presented to Parties to the UNFCCC and guidance is provided accordingly. The process-related experiences from the implementation of the Innovation Facility would be included in the reporting and assessment outlined above thereby demonstrating to the COP concrete collaboration between the Technology and Financial Mechanisms and ensuring that guidance from COP is integrated into the Innovation Facility micro-grants programme.

**B.** Describe the measures for financial and project / programme risk management.

219. The following risks have been identified based on the implementation of AFCIA I and the experience of UNEP CTCN in managing similar programmes funded by the Adaptation Fund as well as other donors (GCF, GEF, EC) with the objectives to implement small micro-grants on climate technologies in developing countries.

TABLE 14.- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
<b>Institutional risks</b>			
Delays in screening and communication process	Low	<p>The screening of the requests will be ensured on a rolling basis by the CTCN. The requests will be sent by email to a CTCN team member in charge of managing the execution of the programme. The CTCN maintains regular and continuous communication with the NDEs globally. Thus, should the project be eligible, the CTCN would request the NDE to set up a call with the project proponent(s). If the quality of the request needs to be improved, a call will also be set up with the NDE and the project proponent.</p> <p>For mitigation requests, a template of email will be created and sent immediately after the screening to inform the country that this request is not eligible under AFCIA II, but that CTCN will consider it for its own portfolio.</p> <p>For eligible but not innovative, transformative or community led requests, a case-by-case explanation will be drafted and sent to the NDE and project proponents.</p>	<p>Low, CTCN delivery model is well functioning. Connection between the NDE and the CTCN is strong. no delays were met in contracting network members during the implementation of AFCIA I.</p>
Delays in contracting Network Members may slow implementation	Low	<p>A process for procurement and contracting is established and functioning efficiently between UNEP and the CTCN. The recruitment of Network Members follows the same rules as for normal CTCN TA. Additionally, experience and lessons learnt were identified from the implementation of first AFCIA Programme.</p>	<p>Low, UNEP process is well established, and no delays were met in contracting network members during the implementation of AFCIA I.</p>

TABLE 14.- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
Challenges in coordination between NDEs and nIE/DAs may impact the quality of submissions	Low	<p>CTCN maintains continuous communications with NDEs globally.</p> <p>Both NDEs and nIE/DAs will be engaged in communication and outreach strategy and communication efforts to ensure a common understanding of the project from the launch of the programme until its closure.</p> <p>Non-conventional stakeholders will be encouraged to participate through webinars and informative sections organized under Component 1 and throughout the continuous and transversal knowledge sharing and capacity building output 3.3.</p> <p>Webinars and information sessions targeting NDE and nIE/DAs will be organized to promote the AFCIA II programme.</p>	<p>High. The higher the coordination, greater is the impact. That is why the CTCN will intend to reinforce the collaboration between NDEs and NIE/DA. Please refer to paragraphs 65 for further details.</p>
The lack of enabling environment to encourage and support innovation limits national buy-in	Low	<p>Network Members implementing the micro-grants are required to devote resources to building the capacity of national counterparts through on-the job training, training workshops and other such mechanisms.</p> <p>Working through national focal points to the Adaptation Fund and CTCN will ensure government buy-in</p>	<p>Medium. AFCIA II programme has been designed with the aim to create the enabling environment needed for the deployment of the technology. Please refer to Component 3, output 3.1 for additional details.</p>
<b>Project risks</b>			

TABLE 14.- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
<p>Not enough high-quality requests are received</p>	<p>Medium</p>	<p>The communication and outreach strategy plan will focus on all eligible countries to ensure a transparent country-driven process in which all potential partners have access to information. Technical support will be provided by the CTCN as a co-funded activity to countries to enhance the quality of proposals through the organization of bilateral meetings between CTCN and the NDE/Project Proponent to discuss their request and analyse ways to improve the quality and, when relevant, align them better to the programme’s objectives. Also, NDEs will be offered the possibility to contact the NDE to express a problem statement and request (co-funded) support from the CTCN to identify suitable solutions (that could sometimes be aligned with the programme) and lead to an eligible request. Also, specific webinars targeting non-conventional stakeholders will be organized throughout the implementation of the programme.</p> <p>Capacity building and specific sections targeting the possible proponents will be organized regionally to ensure that the beneficiaries understand the objectives, outcomes, and outputs of the programme.</p> <p>Lessons learnt from the first AFCIA programme will be applied.</p> <p>AFCIA Coordination Services shall ensure that the project ideation engages the full knowledge helix (including non-governmental actors, such as the private sector), in developing climate innovation projects. In order to ensure that the ideas being sourced are the best that they can be for the targeted countries, CTCN/UNEP will test, in the coordination services proposal, an approach to support the ideation process through regional hubs bringing together R&amp;D institutions. Those meetings will be facilitated by AFCIA IEs at regional level and</p>	<p>High. AFCIA, I have received an increasing number of requests through the 3 calls for projects. However, improvement on the quality of the request has been identified as a lesson learnt.</p> <p>AFCIA II expects to ensure a continuous and transversal capacity building (output 3.3)</p>

TABLE 14.- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
		aim at discussing the innovations that have been funded, those that have been shortlisted and those that could be prepared to invite feedback sessions to strengthen the current and future concepts.	
Transformational change cannot be achieved through micro-grants	Medium	Eligibility and prioritization criteria will ensure that the micro-grants are linked to national plans and consistent with NDCs, NAPs and other relevant commitments. Outcomes 2 and 3 of AFCIA II proposal will build the enabling environment of the host countries through NSI. Support will be provided to prepare proposals for scaled up investment through the Adaptation Fund full size innovation window or other relevant financing mechanisms. AFCIA Coordination Services shall support this transformational change by promoting impact and ensuring cohesion between each IE's individual AFCIA programmes.	Medium. Micro-grants can demonstrate the impact of a technology but might not be enough to test a technology and build the enabling environment for its deployment. AFCIA II will test (analyse, assess) technologies under Outcome 1, build the environment under Outcome 1 and 2 and finally leverage the technology under Outcome 3.

TABLE 14- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
<p>Gender considerations are not adequately considered during the design and implementation of innovation grant.</p>	<p>Low</p>	<p>UNEP environmental and social screening (SRIF) which include gender aspects will be followed (see Annex B). The SRIF will be used as a preliminary gender assessment.</p> <p>Balancing and prioritization criteria will ensure that the technical assistance take gender into consideration. The SRIF will be used as a gender assessment at response plan stage. Should the gender risk be rated as medium or high, a gender action plan will be defined at project level.</p> <p>Revised CTCN Gender Policy approved during the 22<sup>nd</sup> Advisory Board meeting held in Bonn in September 2023 allocated a fixed budget to gender mainstreaming activities (no less than 5 percent of the total budget allocated to the technical assistance) This budget will be used to undertake a detailed Gender Assessment and its respective GAP aligned with the technology and local context will be undertaken at project level. This will be a mandatory activity to be undertaken by each selected Technical Assistance.</p> <p>Gender will be monitored at the start of the implementation through the M&amp;E, during the implementation through the annual PPR, and at closure. The M&amp;E and closure report include two specific indicators on gender.</p>	<p>Low. Adaptation Fund’s gender Policy as well as CTCN gender policy will continue to be applied under AFCIA II. (Please refer to paragraphs 158-162 for further details.)</p>
<p>Financial risks</p>			

TABLE 14.- RISKS TABLE

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Identified risks	Risk rating	Mitigation measures	Level of impact under AFCIA I
Funding for scaled up implementation is not available	Medium	<p>Information on the costs, benefits and financing options for the innovations supported through the projects will be provided by the Network Members in consultation with local experts. Selection criteria will include market-based indicators to select the innovations that have the greatest chance of scaling up (Outcome 3)</p> <p>Leveraging of the action will be ensured through the preparation of the concept notes (Outcome 3, output 3.2).</p> <p>In addition, the coordination services proposal includes a concept to create regional innovation hubs involving R&amp;D institutions as well private sector to promote investment facilitation.</p>	Low. The 2 Concept Notes have not yet been approved by the Adaptation Fund under AFCIA I, but no problem on funding availability is foreseen.
<b>Environmental risks</b>			
Innovations trigger maladaptation	Low	Micro-grant requests will be screened against climate change risks and soundness of adaptation solution in the given country. SRIF, M&E, closure report and Adaptation Fund result tracker will ensure that risks remain low during the implementation.	Low. Adaptation Fund´s 15 safeguard principles will be applied as well as UNEP SRIF. (Please refer to paragraphs 152-155, 228, Annex B for further details.)

C. Describe the measures for environmental and social risk management, in line with the Environmental and Social Policy of the Adaptation Fund.

*The safeguard policies of the Fund will apply to the programmes. The small grant can be considered unidentified subprojects (USP) and, as such, the Fund policies regarding USPs, namely as per the "Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy" and "Updated Guidance for Implementing Entities on the Use of Unidentified Sub-Projects" (Document AFB/PPRC.30/54) will apply. This includes, for example, that, "for projects/programmes with activities/sub-projects unidentified at the time of submitting a proposal for funding, the IE will develop an Environmental and Social Management System (ESMS) for the project/programme and describe it with details in the proposal. In such cases, the project/programme ESMS will contain a process for identifying environmental and social risks for the unidentified activities/sub-projects and, when needed, the development of commensurate environmental and social management elements that will complement and be integrated in the overall ESMP. The project/programme ESMS will specify any other related procedures, roles, and responsibilities."*

220. Environmental and social risks under this project will depend on the types of grants awarded by the programme. The nature of the AFCIA II programme reduces the environmental and social risks as small grant are awarded based on a thorough screening process, they are not higher than 250,000 USD and delivered through technical assistance by CTCN partner pre-selected and part of the existing network of the CTCN. UNEP and Adaptation Fund safeguard policies will be followed to ensure full compliance. Both safeguard policies were analysed as part of AFCIA I programme and proven to be well aligned. A detailed comparative table was developed (see Annex C).
221. For each pre-selected request, a Safeguards Risk Identification Form (SRIF) will be formulated and cleared by UNEP safeguard division. If the screening assigns a moderate risk category to the project (high risk projects will not be selected), then additional steps will be taken to avoid or mitigate such risks during project preparation and management in alignment with AF ESMS and ESP. Project and safeguard information will be identified with support from and disclose to public and all relevant stakeholders during the early consultation processes and inception meetings. A grievance redress mechanism will be clearly defined and established through protocols and made publicly available from CTCN webpage. It will follow UNEP's procedures as well as Adaptation Fund's ESP and ESMS. The project team will respond promptly to any concerns observed or reported to avoid their escalation to grievances. The response process will be managed by CTCN with complaints not addressed referred to UNEP as a second step. Roles and responsibilities will be further detailed in the GRM protocols that will be developed at project inception phase and presented during the launch workshop.
222. To support the Environmental and Social Safeguards Framework UNEP has adopted several related policies which will be applied to the Aggregator mechanism including:
- a. [Policy guidance on environment, human rights and addressing inequalities.](#)
  - b. [Indigenous people policy](#)
  - c. [Policy and strategy on gender equality and the environment](#)
  - d. [Promoting greater protection for environmental defenders](#)
  - e. [UNEP Environmental and Social Sustainability Framework](#)
  - f. [UNEP's Stakeholder Response Mechanism](#)

As per Adaptation Fund's ESMP, the following requirements will be ensured during the implementation of AFCIA II:

- allocated roles and responsibilities for the implementation of the ESMP.
- Provide opportunities for consultation and adaptive management.
- Ensure credible budget provisions, as needed, for the implementation of the ESMP.
- Define clear arrangements between IE and executing entities for the implementation of ESMP.
- Implement a clear monitoring and evaluation arrangements for ESP compliance.



D. Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan.

**Monitoring**

223. The Programme management has established a culture and practice of monitoring micro-grants activities through the implementation of AFCIA I programme. Same processes will be implemented to support the Monitoring and Evaluation of AFCIA II CTCN UNEP programme. Generating evidence on the impact of climate technologies innovations through results-based management help to demonstrate achievements in a transparent and accountable manner, as well as to facilitate knowledge capture and adaptive management. The micro-grants, implemented as technical assistance projects, will meet monitoring and reporting requirements through a mandatory monitoring and reporting activity in each microgrant. This includes 3 main documents: a M&E report requested by CTCN at the start of the implementation of the micro-grant, a closure report as well as a Results tracker.
224. The objective of monitoring is to ensure that support is targeted towards activities that demonstrate concrete impacts, address the transformational changes envisioned in the Paris Agreement and the long-term vision for technology development and transfer. The project management tool could be made available to NIEs implementing direct-access Innovation Facility micro-grants.
225. An Annual Project Progress Review (PPR) will be prepared to monitor progress made since the project's start and for the previous reporting period. The PPR includes but is not limited to, reporting on the following indicators:
- Progress on the project's objective and outcomes – each with indicators, baseline data and end-of-project targets (cumulative).
  - Project outputs delivered per project outcome (annual).
  - Lessons learned/good practice.
  - Annual Work Plan and expenditure reports; and
  - Project risk and adaptive management.

**Evaluations**

226. In line with the Adaptation Fund Evaluation requirements and UNEP's Evaluation Policy, any project with a duration of 4 years or more will be subject to an independent Mid-Term Evaluation or management-led Mid-Term Review at mid-point. All projects are subject to a performance assessment when they reach operational completion. This performance assessment will be either an independent [Final Evaluation](#) or a management-led [Final Review](#).
227. In case a Review is required, the UNEP Evaluation Office will provide tools, templates, and guidelines to support the Review consultant. For all [Final](#) Reviews, the UNEP Evaluation Office will perform a quality assessment of the [Final](#) Review report and validate the Review's performance ratings. This quality assessment will be attached as an Annex to the [Final](#) Review report, validated performance ratings will be captured in the main report.
228. However, if an independent [Final](#) Evaluation of the project is required, the Evaluation Office will be responsible for the entire evaluation process and will liaise with the Task Manager and the project implementing partners at key points during the evaluation. The [Final Evaluation](#) will provide an independent assessment of project performance (in terms of relevance, effectiveness, and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP staff and implementing partners. The direct costs of the evaluation (or the management-led review) will be charged against the project evaluation budget. The [Final Evaluation](#) will typically be initiated after the project's operational completion. If a follow-on phase of the project is envisaged, the timing of the evaluation will be discussed with the Evaluation Office in relation to the submission of the follow-on proposal.
229. The draft [Final Evaluation](#) report will be sent by the Evaluation Office to project stakeholders for comment. Formal comments on the report will be shared by the Evaluation Office in an open and

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transparent manner. The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalized. The evaluation report will be publicly disclosed and will be followed by a recommendation compliance process. The evaluation recommendations will be entered into a Recommendations Implementation Plan template by the Evaluation Office. Formal submission of the completed Recommendations Implementation Plan by the Project Manager is required within one month of its delivery to the project team. The Evaluation Office will monitor compliance with this plan every six months for a total period of 12 months from the finalisation of the Recommendations Implementation Plan. The compliance performance against the recommendations is then reported to senior management on a six-monthly basis and to member States in the Biennial Evaluation Synthesis Report.

**Monitoring and Evaluation Plan**

230. Mid-term and [final](#) assessment have been budgeted as such:

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TABLE 15- COSTED M&E PLAN

Type of M&E activity	Responsible parties	Timeframe	Budget in US \$
Online Launch Workshop	CTCN	Upon agreement signature (tentatively Jan 2024)	0
PPR	CTCN UNEP	Annually	0
Programme Evaluations (Independent mid-term reviews and <a href="#">Final</a> evaluations)	UNEP <a href="#">CTCN</a>	At mid-term and end of project implementation	86,400 ( <a href="#">IE fee</a> ) 100,000 ( <a href="#">EE fee</a> )
TA M&E reports	CTCN & delivery partner	At the start of each Technical Assistance	Between 2,500 and 4,000 USD for each Technical Assistance

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Type of M&E activity	Responsible parties	Timeframe	Budget in US \$
TA closure reports	CTCN & delivery partner	At closure of each Technical Assistance	Between 2,500 and 4,000 USD for each Technical Assistance

237. Breakdown of IE fee in the supervision of the M&E function

TABLE 16 - BREAKDOWN OF IE FEE

Description	Budget/5 years
Portfolio Manager	234,170
Task Manager	351,255
Finance	100,000
Admin	46,356
Corporate	90,909
Mid-term evaluation	86,400
<b>Total</b>	<b>909,090</b>

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TABLE 17 - BREAKDOWN OF EXECUTION COSTS

Description	Total (US\$)
KMS team Communication and gender specialists	265,909
Administrative support	68,182
Project Manager	475,000
Final Evaluation	100,000
<b>Total</b>	<b>909,091</b>

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E. Include a results framework for the project / programme proposal, including milestones, targets, and indicators.

TABLE 18 - RESULTS FRAMEWORK FOR THE PROJECT

<b>Objective</b>	<b>Indicator</b>	<i>Baseline</i>	<i>Target</i>	<i>Means of Verification</i>	<b>Assumptions</b>
<b>To support countries to test, scale up and leverage innovative, transformative, and locally led climate adaptation technologies across the technology cycle and anchor these into National Systems of Innovation</b>	N° of innovative, transformative, and locally led adaptation technologies tested, scaled up and anchored into a NSI.	0	60	Grant closure reports, PPR	Countries are supportive of innovative approaches to adaptation
<b>Outcome</b>	Outcome indicator	<i>Baseline</i>	<i>Target</i>	<i>Means of Verification</i>	<b>Assumptions</b>

<p><b>Outcome 1:</b> Technology development capacities are strengthened through the incubation process of innovative, locally led climate adaptation technologies.</p>	<p>Degree to which capacity of project proponent is strengthened through the incubation process.</p>	<p>0</p>	<p>20 proponents scoring 'high'.</p>	<p>CTCN Screening (restrictive webpage), SRIF, PPR, MTR, <a href="#">Final Evaluation</a>,</p>	<p>The programme is correctly advertised.</p> <p>SIDs and LDC manage to send high quality requests (through the co-funded support of CTCN when needed)</p> <p>Up to 40 good quality requests are received and are selected by UNEP CTCN to be implemented.</p> <p>The procedure of the CTCN to screen, select the applications and contract the network partners works effectively.</p> <p>Once selected, the Technical Assurances are implemented and completed.</p> <p>The CTCN maintains continuous and effective communication with NDEs.</p>
<p><b>Outcome 2</b> 10 successful innovative locally led climate adaptation technologies are benefiting a greater number of people through additional funding.</p>	<p>Number of beneficiaries from the 10 scaled up adaptation technologies and innovations Among which % of women and</p>	<p>0</p>	<p>At least 3 projects are defined as "very effective" and 7 as "effective"</p> <p>1500 direct beneficiarie</p>	<p>PPR, MTR, <a href="#">Final Evaluation</a>,</p>	<p>Up to 10 successfully tested adaptation technologies innovations are identified and selected by UNEP CTCN to be scaled up.</p> <p>The proposals for scale up include on the ground implementation of the</p>

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	youth		s, with at least 30% of women, <sup>49</sup>  50% of indirect beneficiaries will be women <sup>50</sup> and 20% youth		technologies  The procedure of the CTCN to screen, select the applications and contract the network partners works effectively  Once selected, the Technical Assistances are implemented and completed
<b>Outcome 3</b> Innovative, transformative, and locally led adaptation technologies are promoted through strengthened enabling environments (National Systems of Innovation), finance and knowledge.	Number of Improved policies and regulations that promote new adaptation technology uptake  Amount of additional fund leveraged to support adaptation innovation	0  0	10 improved policies or regulations that enforce resilience.  USD 10,000,000 0 through 3 Concept notes	PPR, <a href="#">Final Evaluation</a> , MTR  Concept notes submitted to AF approved	Up to 10 good quality requests for establishment of NSI are received and are selected by UNEP CTCN  The procedure of the CTCN to screen, select the applications and contract the network partners works effectively  Once selected, the Technical Assistances are implemented and completed
<b>Output</b>	Output indicator	Baseline	Target	Means of Verification	
<b>Output 1.1:</b> Outreach and capacity building plan developed and implemented for all non-Annex I countries with NDEs globally.	Degree to which the process of developing requests for micro-grants has been based on a supportive approach to identifying innovation	0	40 proponents scoring 'highly supportive' approach.	Communication and outreach strategy and a capacity plan (report), PPR.	

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<sup>49</sup> See footnote 45

<sup>50</sup> See footnote 46

	needs and barriers in the country.  Number of gender responsive comm, outreach strategy and capacity building strategy developed	0	1 gender responsive coms and outreach / capacity building strategy is developed		
<b>Output 1.2:</b> 40 innovative, transformative, and locally led climate adaptation technologies are selected.	Number of project concept notes selected for technology testing and reponse Plans developed by CTCN	0	40	Concept notes (response Plans) formulated, CTCN webpage, PPR, MTR, <a href="#">Final Evaluation</a> ,	Deleted: TE
	Number of Gender pre-assessment formulated	0	80		
<b>Output 1.3:</b> Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries, and 40 exit strategies are formulated using NSI as a basis.	Number of adaptation innovations and technologies tested in developing countries	0	40	PPR, MTR, <a href="#">Final Evaluation</a> ,	Deleted: TE
	Number of detailed gender assessments and GAP generated at project level	0	40		

<b>Output 2.1:</b> 10 promising Innovative, transformative, and locally-led climate adaptation technologies are scaled up.	Number of successful technologies scaled up in developing countries	0	10	Project report, PPR	
<b>Output 3.1</b> National Systems of Innovation for 10 adaptation technologies are established or improved in developing countries.	Number of NSI established or improved in developing countries	0	10 NSI established or improved.	Project report, PPR, MTR, <a href="#">Final Evaluation</a> , closure reports	<b>Deleted: TE</b>
	Number of detailed gender assessments generated and GAP at project level	0	10 gender assessments and GAPs formulated		
<b>Output 3.2 Concept</b> Concept notes are formulated and submitted to the Adaptation Fund to secure additional funds for promising adaptation innovations and technologies.	Number of concept notes submitted to the Adaptation Fund	0	Up to 3 CN submitted to Adaptation Fund	Adaptation Fund webpage, PPR, MTR, <a href="#">Final Evaluation</a>	<b>Formatted: English (US)</b> <b>Deleted: TE</b>
	Number of full proposal gender assessments formulated	0	Up to 3 gender assessment and Gender Action Plans formulated		
<b>Output 3.3</b> Knowledge and capacity on adaptation technologies is built through Digital Public Goods, amongst other instruments. Consolidation of Key Performance indicators is ensured.	Number of Digital Public Goods created	0	At least 1 Digital Public Goods platform created for AFCIA II programme	Digital Public Good platform	



				<i>PPR.</i>	
Degree to which the awareness raising strategy of the project has incentivized stakeholders to consider uptake of the adaptation technologies being show-cased.	0	75 stakeholders rated this as 'high'.	CTCN webpage, PPR.		
Number of project stories published	0	5 project stories disseminated at least one focusing on gender and/or youth.	CTCN webpage, PPR.		
Number of lessons learned and technology factsheets	0	5 factsheets prepared, at least one focusing on gender and/or youth.	CTCN webpage, PPR.		
Number of Monitoring and Evaluation report developed and cleared by CTCN	0	60 M&E reports developed	60 closure reports		

F. Demonstrate how the project / programme aligns with the Results Framework of the Adaptation Fund

*Project outcomes should be aligned with the Fund level outcome for innovation (Outcome 8) of the Strategic Results Framework and all others that may apply in the context of the project /programme. Please follow additional guidance provided in Document AFB/PPRC.29/44.<sup>51</sup>*

231. The innovation micro-grant programme is having the ultimate objective to support countries to test, scale up and leverage innovative, transformative, and locally led adaptation technologies across the technology cycle and anchor these into National Systems of Innovation.

232. The proposal is aligned with Outcome 2, Outcome 3, Outcome 7, and Outcome 8 on innovation.

Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses.

Indicator 2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased.

Output 2.1: Strengthened capacity of national and sub-national centers and networks to respond rapidly to extreme weather events.

Output 2.2: Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance.

Outcome 3 Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level

Indicator 3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders.

Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning.

Outcome 7: Improved policies and regulations that promote and enforce resilience measures.

Indicator: 7. Climate change priorities are integrated into national development strategy

Output 7: Improved integration of climate-resilience strategies into country development plans

Outcome 8: Support the development and diffusion of innovative adaptation practices, tools, and technologies.

Indicator 8. Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level.

Output 8: Viable innovations are rolled out, scaled up, encouraged and/or accelerated.

- 8.1. No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated.
- 8.2. No. of key findings on effective, efficient adaptation practices, products and technologies generated.

<sup>51</sup> Available at: [https://www.adaptation-fund.org/wp-content/uploads/2022/03/AFB.PPRC\\_29.44-Guidance-to-IEs-for-inclusion-of-objectives-and-Indicators-for-Innovation.pdf](https://www.adaptation-fund.org/wp-content/uploads/2022/03/AFB.PPRC_29.44-Guidance-to-IEs-for-inclusion-of-objectives-and-Indicators-for-Innovation.pdf)

TABLE 19 - ALIGNMENT OF UNEP CTCN AFCIA II WITH FUND LEVEL OUTCOMES

<b>Outcome 2</b>	<b>Contributions of Proposed Programme</b>
2.1 Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased	This ER will be reflected under Outcome <b>2 and Outcome 3, output 3.1</b>
<b>Outcome 3</b>	<b>Contributions of Proposed Programme</b>
Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	This ER will be reflected under Outcome <b>1, output 1.3, Outcome 3, output 3.1, output 3.3</b>
<b>Outcome 7</b>	<b>Contributions of Proposed Programme</b>
Output 7: Improved integration of climate-resilience strategies into country development plans	This ER will be reflected under Outcome <b>3, output 3.1.</b>
<b>Outcome 8</b>	<b>Contributions of Proposed Programme</b>
8.1. No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated.	This ER will be reflected under <b>Component 1 - Output 1.3, Component 2 and Component 3, output 3.1 and 3.2.</b>
8.2 No. of key findings on effective, efficient adaptation practices, products and technologies generated.	This Expected Results is reflected under <b>the Transversal and continuous knowledge sharing and learning, and Output 3.3</b> mainly.

TABLE 20 - STRATEGIC RESULTS FRAMEWORK

Project Objective(s) <sup>52</sup>	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Expected Results	Grant Amount (USD)
To support countries to test, scale up and leverage innovative, transformative, and locally led climate adaptation technologies across the technology cycle and anchor these into National Systems of Innovation	N° of innovative, transformative, and locally led adaptation technologies tested, scaled up, leveraged, and anchored into an NSI.	Outcome 8: Support the development and diffusion of innovative adaptation practices, tools, and technologies.	Indicator 8.1: No. of new, adapted, or improved adaptation solutions developed contextually and with the inclusion of the communities most vulnerable to climate change	60 innovative practices/tools and/or technologies	10,000,000
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Expected Results	Grant Amount (USD)
<b>Outcome 1</b> Technology development capacities are strengthened through the incubation process of innovative, locally led climate adaptation technologies	Degree to which capacity of project proponent is strengthened through the incubation process.	Output 8: Viable innovations are rolled out, scaled up, encouraged	3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders.  8.1.1 No. of innovators supported (disaggregated by gender (male/female/other) and youth status (youth/non-youth)).  8.3.1 No. of applications to innovation calls under the project or programme.	No. and type of applicant/s [individual/s or organization/s]	<b>6,160,000</b>

<sup>52</sup> The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology, but the overall principle should still apply.

<p><b>Outcome 2</b> 10 successful innovative locally led climate adaptation technologies are benefiting a greater number of people through additional funding.</p>	<p>Number of beneficiaries from the 10 scaled up adaptation technologies and innovations Among which % of women and youth</p>		<p>2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender)</p> <p>2.1.2 No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector, and scale</p>	<p>No. and type of key findings Type [Practice, product, technology]</p>	<p><b>1,000,000</b></p>
<p><b>Outcome 3</b> Innovative, transformative, and locally led adaptation technologies are promoted through strengthened enabling environments (National Systems of Innovation).</p>	<p>Number of Improved policies and regulations that promote new adaptation technology uptake</p>		<p>2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender)</p> <p>2.1.2 No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector, and scale</p> <p>3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders.</p> <p>7.1. No. of policies introduced or adjusted to address climate change risks (by sector)</p> <p>8.1.2 No. of partnerships leveraged for exchange of goods or services or ideas, consultations and assistance between grantee and stakeholder/s.</p>		<p><b>1,021,819</b></p>

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			8.2.1 No. of key findings generated from an innovation practice, tool, and/or technology.		
	Amount of additional fund leveraged to support adaptation innovation			No. and type of partnerships [e.g., technical assistance, funds, in-kind contributions, or others]	
Continuous and broader capacity building and knowledge transfer is ensured through Digital Public Goods, amongst other instruments.	# Number of communication material formulated and disseminated to increase capacity building and foster knowledge sharing  Degree to which the awareness raising strategy of the project has incentivized stakeholders to consider uptake of the adaptation technologies being show-cased.		3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders.  8.1.2 No. of partnerships leveraged for exchange of goods or services or ideas, consultations, and assistance between grantee and stakeholder/s.  8.2.2 No. of learning and sharing initiatives undertaken, including communication initiatives	No. and type of partnerships [e.g., technical assistance, funds, in-kind contributions, or others]  No. and type [e.g., studies and reports, lessons learned events and workshops, articles, broadcasts, social media, "change, learning and new information" initiatives that support iterative deployment of the innovation]	Deleted: 1  Deleted: 1

G. Include a detailed budget with budget notes, broken down by country as applicable, a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

A detailed budget is available under Annex D, Implementing Entity Fee is described under Table 17 and breakdown of Execution Costs is available under Table 18.

H. Include a disbursement schedule with time-bound milestones.

TABLE 21 - DISBURSEMENT TABLE

	<u>Upon signature of Agreement (2024)</u>	<u>One Year after Project Start (2025)</u>	<u>2026</u>	<u>2027</u>	<u>2028</u>	<u>Total</u>
<u>Scheduled date</u>	2024	2025	2026	2027	2028	-
<u>Project Funds</u>	841,819	4,920,000	1,360,000	1,500,000	469,091	9,090,910
<u>Implementing Entity Fees</u>	181,818	181,818	181,818	181,818	181,818	909,090
<b>Total</b>	<b>1,023,637</b>	<b>5,101,818</b>	<b>1,541,818</b>	<b>1,681,818</b>	<b>650,909</b>	<b>10,000,000</b>

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	<u>Upon signature of Agreement (2024)</u>	<u>On after Star</u>
<u>Scheduled date</u>	2024	
<u>Project Funds</u>	780,000	4,
<u>Implementing Entity Fees</u>	200,000	
<b>Total</b>	<b>980,000</b>	<b>5,</b>

<sup>a)</sup>Use projected start date to approximate first year c  
<sup>b)</sup>Subsequent dates will follow the year anniversary c  
<sup>c)</sup>Add columns for years as needed

This table has been filled in using the guidance of t

Project/programme activities cost = A  
 Project/programme execution cost =B  
 Total project/programme cost thus the category of  
 Implementing Entity Fee=C  
 Total amount of funding requested, or the grant an

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- <sup>a)</sup>Use projected start date to approximate first year disbursement
- <sup>b)</sup>Subsequent dates will follow the year anniversary of project start
- <sup>c)</sup>Add columns for years as needed

This table has been filled in using the guidance of the fund listed below:

Project/programme activities cost = A  
Project/programme execution cost =B  
Total project/programme cost thus the category of the disbursement table "Project Funds" =A+B  
Implementing Entity Fee=C  
Total amount of funding requested, or the grant amount=A+B+C

**PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY**

233. **Record of endorsement on behalf of the government**<sup>53</sup>: *Letters of endorsement may be provided at a later stage, if not possible to include with the fully developed programme*<sup>54</sup>. *In that case, the proposal should describe how the IE plans to secure governments' endorsements of the initiative and when the IEs will provide the letters in the reports to the secretariat.*

(Enter Name, Position, Ministry)	Date: (Month, day, year)
(Enter Name, Position, Ministry)	Date: (Month, day, year)
(Enter Name, Position, Ministry)	Date: (Month, day, year)

<sup>6</sup> Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.

<sup>54</sup> The letter of endorsement could be requested, for instance, following a call for expressions of interest for countries to participate in the provision of small grants opportunities. Such plans should be outlined in Section III, Implementation Arrangements (A).



**Implementing Entity certification**

- A. Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Also provide the project/programme contact person's name, telephone number and email address.

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans (.....list here.....) and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.	
Name & Signature Implementing Entity Coordinator	
Date: (Month, Day, Year)	Tel. and email:
Project Contact Person:	
Tel. And Email:	



ADAPTATION FUND

**Letter of Endorsement by Government**

[Government Letter Head]

[Date of Endorsement Letter]

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email : Secretariat@Adaptation-Fund.org  
Fax : 202 522 3240/5

Subject: Endorsement for [Title of Project/Programme]

In my capacity as designated authority for the Adaptation Fund in [country], I confirm that the above (select national or regional) project/programme proposal is in accordance with the government's (select national or regional) priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the (select country or region).

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by [implementing entity] and executed by [national or local executing entity].

Sincerely,

[Name of Designated Government Official]  
[Position/Title in Government]

**PART V: ANNEXES**

ANNEX A: Full list of indicators from ctcn and adaptation fund

I. Full list of indicators from CTCN

**Output and outcome indicators**

<b>Indicator</b>	<b>Quantitative value</b> <i>Numerals only; disaggregates must sum to the total</i>	<b>Qualitative description</b> <i>List the various elements corresponding to the quantitative value as well as timelines and responsible institutions</i>
Please note indicators below highlighted as <b>anticipated</b>		
Total number of events organized by proponents and implementing partners	<i>List total number here</i>	
Number of participants in events organized by proponents and implementing partners		
a) Number of men	<i>List total number here</i>	<i>Disaggregate by country</i>
b) Number of women		
Number of climate technology RD&D related events		
Number of participants in climate technology RD&D events	<i>List total number here</i>	
a) Number of men		
b) Number of women		
Number of trainings organized by proponents and implementing partners	<i>List total number here</i>	<i>List the title of the training sessions and capacity strengthening activities</i>
Number of participants in trainings organized by proponents and implementing partners	<i>List total number here</i>	
a) Number of men		
b) Number of women		
Total number of institutions trained	<i>List total number here</i>	
a) Governmental (national or subnational)		<i>List the name of organisations trained here</i>
b) Private sector (bank, corporation, etc.)		<i>List the name of organisations trained here</i>
c) Nongovernmental (NGO, University, etc.)		<i>List the name of organisations trained here</i>
Percentage of participants reporting satisfaction with CTCN training (from CTCN training feedback form)		<i>Satisfied= 4+ on 5-pt scale</i>
Percentage of participants reporting increased knowledge, capacity and/or understanding because of CTCN training (from CTCN training feedback form)		<i>Increased knowledge, capacity and/or understanding= 4+ on 5-pt scale</i>
a) Percentage of men		
b) Percentage of women		

Total number of deliverables produced during the assistance (excluding mission, progress, and internal reports)	List total number here	
a) Number of communication materials, including news releases, newsletters, articles, presentations, social media postings, etc.		List the name of the documents
b) Number of tools and technical documents strengthened, revised, or developed		List the name of the documents
c) Number of other information materials strengthened, revised, or created (For example training and workshop reports, Power Points, exercise docs etc.)		List the name of the documents
Total number of policies, strategies, plans, laws, agreements, or regulations supported by the assistance	List total number here	
a) Adaptation related		List the type and name of documents supported
b) Mitigation related		List the type and name of documents supported
c) Both adaptation- and mitigation related		List the type and name of documents supported
<b>Anticipated</b> number of policies, strategies, plans, laws, agreements, or regulations proposed, adopted, or implemented because of the TA	List total number here	
a) Adaptation related		List the type of documents anticipated to be proposed, adopted, or implemented
b) Mitigation related		List the type of documents anticipated to be proposed, adopted, or implemented
c) Both adaptation- and mitigation related		List the type of documents anticipated to be proposed, adopted, or implemented
<b>Anticipated</b> number of technologies transferred or deployed because of CTCN support	List total number here	<i>Instruction:</i> List the type of technologies supported by this assistance. Technologies must be identified from the CTCN taxonomy of climate sectors and technologies (download in pdf format and choose from column C): <a href="https://www.ctc-n.org/resources/ctcn-taxonomy">https://www.ctc-n.org/resources/ctcn-taxonomy</a>
<b>Anticipated</b> number of collaborations facilitated or enabled because of technical assistance	List total number here	
a) Number of South-South collaborations		List the names of the organisations (excluding the CTCN or TA implementers)
b) Number of RD&D collaborations		List the names of the organisations (excluding the CTCN or TA implementers)
c) Number of private sector collaborations		List the names of the organisations (excluding the CTCN or TA implementers)
Number of countries with strengthened National System of Innovation because of CTCN support		List names of countries
<b>Insert any additional indicators here.</b>		
Number of participants in climate technology RD&D and innovation-related events (gender disaggregated)		
Percentage of TA budget allocation targeting gender mainstreaming		

**A. Core impact indicators**

Please fill in the tables for anticipated impacts of the CTCN assistance. Every technical assistance should contribute to at least one of the indicators below. For guidance on how to report on core indicators see the ['M&E Guidance Document for TA Implementers'](#).

Core indicator 1	Anticipated metric tons of CO <sub>2</sub> equivalent (CO <sub>2</sub> e) emissions reduced or avoided because of CTCN TA	
	Anticipated metric tons of CO <sub>2</sub> e reduced or avoided because of the TA <b>on annual basis</b>	Anticipated metric tons of CO <sub>2</sub> e reduced or avoided because of the TA <b>in total</b>
Quantitative value (emissions reductions)	Total number (numerals only, no rounding or abbreviations)	Total number (numerals only, no rounding or abbreviations)
Unit	tCO <sub>2</sub> e	tCO <sub>2</sub> e
<b>GHG assessment boundary (project emissions)</b>  Identify expected post-TA activities, associated effects, and assess boundary for quantification of GHG emission reductions		
<b>Baseline emissions</b>  Describe baseline scenario, baseline candidates, emission factors and emissions calculated		
<b>Methodology</b>  Explain the method or process of verifying the indicator and how data was gathered		
<b>Assumptions</b> Describe assumptions made during calculation and quantification of GHG reductions		

<b>Core indicator 2</b>	<b>Anticipated increased economic, health, well-being, infrastructure and built environment, and ecosystems resilience to climate change impacts because of technical assistance.</b>  <i>Please provide a <b>qualitative</b> description of the anticipated impacts on the categories below</i>
<b>Infrastructure and built environment.</b> Anticipated increased infrastructure resilience (avoided/mitigated climate induced damages and strengthened physical assets)	
<b>Ecosystems and biodiversity</b> Anticipated increased ecosystem resilience (areas with increased resistance to climate-induced disturbances and with improved recovery rates)	
<b>Economic</b> Anticipated increased economic resilience (e.g., less reliance on vulnerable economic sectors or diversification of livelihood)	
<b>Health and wellbeing</b> Anticipated increased health and wellbeing of target group (e.g., improved basic health, water, and food security)	

<b>Core indicator 3</b>	<b>Anticipated number of direct and indirect beneficiaries because of the TA</b>	
	<b>Quantitative value</b>	<b>Means of verification</b>
Total beneficiaries	<i>Total number</i>	
Number of adaptation beneficiaries		<i>Describe calculation methods and assumptions made</i>
Number of mitigation beneficiaries		<i>Describe calculation methods and assumptions made</i>
Number of adaptation-and mitigation beneficiaries		<i>Describe calculation methods and assumptions made</i>

Core indicator 4	Anticipated amount of funding/investment leveraged (USD) because of TA (disaggregated by public, private, national, and international sources, as well as between anticipated/confirmed funding)			
	Quantitative value confirmed in USD	Quantitative value anticipated in USD	Qualitative description <i>List the institutions, timelines, and description or title of the investment</i>	Methods <i>Describe methods used for quantification of funds leveraged</i>
Total funding	<i>Total number in USD (numerals only, no rounding or abbreviations)</i>	<i>Total number in USD (numerals only, no rounding or abbreviations)</i>		
Anticipated amount of public funding mobilised from national/domestic sources				
Anticipated amount of public funding mobilised from international/ regional sources				
Anticipated amount of private funding mobilised from national/domestic sources				
Anticipated amount of private funds mobilised from international/regional sources				

**Full List of indicators from Adaptation Fund**

II. [Adaptation Fund results tracker](#)

In addition to baseline information, the indicators are also checked for target performance at completion, performance at mid-term, and performance at completion.



Results Tracker for Adaptation Fund (AF) Projects				
AF Project Name: [Project Name]				
AF Project ID: [Project ID]				
AF Project Start Date: [Start Date]				
AF Project End Date: [End Date]				
AF Project Status: [Status]				
AF Project Lead: [Lead Name]				
AF Project Location: [Location]				
AF Project Sector: [Sector]				
AF Project Sub-Sector: [Sub-Sector]				
AF Project Component: [Component]				
AF Project Activity: [Activity]				
AF Project Output: [Output]				
AF Project Outcome: [Outcome]				
AF Project Impact: [Impact]				
AF Project Budget: [Budget]				
AF Project Expenditure: [Expenditure]				
AF Project Financial Status: [Financial Status]				
AF Project Risk Rating: [Risk Rating]				
AF Project Compliance Status: [Compliance Status]				
AF Project Reporting Status: [Reporting Status]				
AF Project Audit Status: [Audit Status]				
AF Project Disbursement Status: [Disbursement Status]				
AF Project Cancellation Status: [Cancellation Status]				
AF Project Termination Status: [Termination Status]				
AF Project Suspension Status: [Suspension Status]				
AF Project Resumption Status: [Resumption Status]				
AF Project Completion Status: [Completion Status]				
AF Project Closure Status: [Closure Status]				
AF Project Archiving Status: [Archiving Status]				
AF Project Deletion Status: [Deletion Status]				
Project 1	Project 1 Description	Project 1 Status	Project 1 Progress	Project 1 Budget
Project 2	Project 2 Description	Project 2 Status	Project 2 Progress	Project 2 Budget
Project 3	Project 3 Description	Project 3 Status	Project 3 Progress	Project 3 Budget
Project 4	Project 4 Description	Project 4 Status	Project 4 Progress	Project 4 Budget
Project 5	Project 5 Description	Project 5 Status	Project 5 Progress	Project 5 Budget
Project 6	Project 6 Description	Project 6 Status	Project 6 Progress	Project 6 Budget
Project 7	Project 7 Description	Project 7 Status	Project 7 Progress	Project 7 Budget
Project 8	Project 8 Description	Project 8 Status	Project 8 Progress	Project 8 Budget
Project 9	Project 9 Description	Project 9 Status	Project 9 Progress	Project 9 Budget
Project 10	Project 10 Description	Project 10 Status	Project 10 Progress	Project 10 Budget
Project 11	Project 11 Description	Project 11 Status	Project 11 Progress	Project 11 Budget
Project 12	Project 12 Description	Project 12 Status	Project 12 Progress	Project 12 Budget
Project 13	Project 13 Description	Project 13 Status	Project 13 Progress	Project 13 Budget
Project 14	Project 14 Description	Project 14 Status	Project 14 Progress	Project 14 Budget
Project 15	Project 15 Description	Project 15 Status	Project 15 Progress	Project 15 Budget
Project 16	Project 16 Description	Project 16 Status	Project 16 Progress	Project 16 Budget
Project 17	Project 17 Description	Project 17 Status	Project 17 Progress	Project 17 Budget
Project 18	Project 18 Description	Project 18 Status	Project 18 Progress	Project 18 Budget
Project 19	Project 19 Description	Project 19 Status	Project 19 Progress	Project 19 Budget
Project 20	Project 20 Description	Project 20 Status	Project 20 Progress	Project 20 Budget
Project 21	Project 21 Description	Project 21 Status	Project 21 Progress	Project 21 Budget
Project 22	Project 22 Description	Project 22 Status	Project 22 Progress	Project 22 Budget
Project 23	Project 23 Description	Project 23 Status	Project 23 Progress	Project 23 Budget
Project 24	Project 24 Description	Project 24 Status	Project 24 Progress	Project 24 Budget
Project 25	Project 25 Description	Project 25 Status	Project 25 Progress	Project 25 Budget
Project 26	Project 26 Description	Project 26 Status	Project 26 Progress	Project 26 Budget
Project 27	Project 27 Description	Project 27 Status	Project 27 Progress	Project 27 Budget
Project 28	Project 28 Description	Project 28 Status	Project 28 Progress	Project 28 Budget
Project 29	Project 29 Description	Project 29 Status	Project 29 Progress	Project 29 Budget
Project 30	Project 30 Description	Project 30 Status	Project 30 Progress	Project 30 Budget
Project 31	Project 31 Description	Project 31 Status	Project 31 Progress	Project 31 Budget
Project 32	Project 32 Description	Project 32 Status	Project 32 Progress	Project 32 Budget
Project 33	Project 33 Description	Project 33 Status	Project 33 Progress	Project 33 Budget
Project 34	Project 34 Description	Project 34 Status	Project 34 Progress	Project 34 Budget
Project 35	Project 35 Description	Project 35 Status	Project 35 Progress	Project 35 Budget
Project 36	Project 36 Description	Project 36 Status	Project 36 Progress	Project 36 Budget
Project 37	Project 37 Description	Project 37 Status	Project 37 Progress	Project 37 Budget
Project 38	Project 38 Description	Project 38 Status	Project 38 Progress	Project 38 Budget
Project 39	Project 39 Description	Project 39 Status	Project 39 Progress	Project 39 Budget
Project 40	Project 40 Description	Project 40 Status	Project 40 Progress	Project 40 Budget
Project 41	Project 41 Description	Project 41 Status	Project 41 Progress	Project 41 Budget
Project 42	Project 42 Description	Project 42 Status	Project 42 Progress	Project 42 Budget
Project 43	Project 43 Description	Project 43 Status	Project 43 Progress	Project 43 Budget
Project 44	Project 44 Description	Project 44 Status	Project 44 Progress	Project 44 Budget
Project 45	Project 45 Description	Project 45 Status	Project 45 Progress	Project 45 Budget
Project 46	Project 46 Description	Project 46 Status	Project 46 Progress	Project 46 Budget
Project 47	Project 47 Description	Project 47 Status	Project 47 Progress	Project 47 Budget
Project 48	Project 48 Description	Project 48 Status	Project 48 Progress	Project 48 Budget
Project 49	Project 49 Description	Project 49 Status	Project 49 Progress	Project 49 Budget
Project 50	Project 50 Description	Project 50 Status	Project 50 Progress	Project 50 Budget

ANNEX B: Social and Environmental Policy Principles Adaptation Fund and UNEP

I. Summary: Comparative table for Safeguard principles of the AF and UNEP

Adaptation Fund SSF and AF SS Principles	Title of the principle	Aligned	Correspondence with UNEP SSF	Relevant differences	
1	Compliance with the Law	Aligned	Guiding principle: Accountability		
2	Access and Equity		Guiding principle: Leave no one behind		
3	Marginalized and Vulnerable Groups		Guiding principle: Leave no one behind		AF has 2 principles while UNEP has merged 3 into 1 principle
4	Human Rights		Guiding principle: Human rights and gender equality		
5	Gender Equity and Women's Empowerment		Guiding principle: Human rights and gender equality		AF has 2 principles while UNEP has merged 3 into 1 principle
6	Core Labour Rights		Safeguard standard 7: Labour and working conditions		
7	Indigenous Peoples		Safeguard standard 7: Indigenous peoples		
8	Resettlement/Relocation		Safeguard standard 6: Displacement and resettlement (relevance)		
9	Protection of Natural Habitats		Safeguard standard 3: Biodiversity, Ecosystems and sustainable natural resource management		
10	Conservation of Biological Diversity		Safeguard standard 3: Biodiversity, Ecosystems and sustainable natural resource management		
11	Climate Change		Safeguard standard 2: Climate change and Disaster risk		
12	Pollution Prevention and Resource Efficiency		Safeguard standard 4: Pollution Prevention and Resource Efficiency		
13	Public Health		Safeguard standard 6: Community health safety and security		
14	Physical and Cultural Heritage		Safeguard standard 5: Cultural heritage		
15	Land and Soil Conservation		Safeguard standard 3: Biodiversity, Ecosystems and sustainable natural resource management		AF has 2 different principles for Protection of Natural Habitats, Conservation of Biological Diversity and Land and soil

II. Detailed: Comparative table for Safeguard principles of the Adaptation Fund and UNEP

Table 22 below, compares the Adaptation Fund Environmental and Social Policy: 15 principles against the UNEP's Environmental and Social Sustainability Framework (ESSF). The comparison shows alignment between the two environmental and social policy.

TABLE 22: AF 15 PRINCIPLES Vs UNEP's ESSF

Adaptation Fund Environmental and Social Policy: 15 principles	UNEP Environmental and Social Sustainability Framework (ESSF)
<p><b>Principle 1: Compliance with the Law.</b> Projects/programmes supported by the Fund shall follow all applicable domestic and international law.</p>	<p><b>Guiding principle: Accountability:</b> UNEP programmes and projects will promote compliance with legal norms and standards including national laws, regulations and obligations under international environmental treaties and agreements, human rights law, and international labour standards.</p>
<p><b>Principle 2: Access and Equity.</b> Projects/programmes supported by the Fund shall provide fair and equitable access to benefits in a manner that is inclusive and does not impede access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights. Projects/programmes should not exacerbate existing inequities, particularly with respect to marginalized or vulnerable groups</p>	<p><b>Guiding principle: Leave no one behind:</b> UNEP will reinforce the overarching leave no one behind principle in part by ensuring through proactive engagement that marginalized and disadvantaged groups and individuals are appropriately identified, provided equitable access to programme and project benefits, and are not left behind due to disadvantages, discrimination, and vulnerability to shocks.</p>

<p><b>Principle 3: Marginalized and Vulnerable Groups.</b> Projects/programmes supported by the Fund shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS. In screening any proposed project/programme, the implementing entities shall assess and consider impacts on marginalized and vulnerable groups.</p>	<p><b>Guiding principle: Leave no one behind:</b> UNEP will reinforce the overarching leave no one behind principle in part by ensuring through proactive engagement that marginalized and disadvantaged groups and individuals are appropriately identified, provided equitable access to programme and project benefits, and are not left behind due to disadvantages, discrimination, and vulnerability to shocks.</p>
<p><b>Principle 4: Human Rights.</b> Projects/programmes supported by the Fund shall respect and where applicable promote international human rights.</p>	<p><b>Guiding principle: Human rights and gender equality:</b> UNEP programmes and projects shall uphold human rights, principles of accountability and rule of law, participation and inclusion and equality and non-discrimination. In addition, UNEP and partners will refrain from supporting activities that may contribute to violation of state's human rights obligations under international law.</p>
<p><b>Principle 5: Gender Equality and Women's Empowerment.</b> Projects/programmes supported by the Fund shall be designed and implemented in such a way that both women and men 1) have equal opportunities to participate as per the Fund gender policy; 2) receive comparable social and economic benefits; and 3) do not suffer disproportionate adverse effects during the development process.</p>	<p><b>Guiding principle: Human rights and gender equality:</b> UNEP programmes and projects will ensure supported activities do not discriminate against women and girls, reinforce gender-based inequalities or exclusions or disproportionate adverse gender related impacts. Programmes and projects will conduct gender analysis to promote the design and implementation of gender responsive and gender transformative programmes.</p>
<p><b>Principle 6: Core Labour Rights.</b> Projects/programmes supported by the Fund shall meet the core labour standards as identified by the International Labour Organization.</p>	<p><b>Safeguard standard 8: Labour and working conditions:</b> Programme or project activities shall enhance employment promotion benefits, development outcomes, and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The requirements set out are guided by several international conventions and instruments including those of international labour organization (ILO).</p>
<p><b>Principle 7: Indigenous Peoples.</b> The Fund shall not support projects/programmes that are inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples.</p>	<p><b>Safeguard standard 7: Indigenous peoples:</b> UNEP shall work in partnership with indigenous peoples to support their right to determine and develop priorities for exercising their right to development and contribute to the realization of the provisions of the UN declaration on the rights of indigenous people the indigenous and Tribal people's convention and other relevant international instruments. Recognize and foster full respect for indigenous peoples</p>

<p><b>Principle 8: Involuntary Resettlement.</b> Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.</p>	<p><b>Safeguard standard 6: Displacement and involuntary resettlement:</b> UNEP shall seek to avoid involuntary resettlement in supported activities wherever possible. However, UNEP may be called upon to support partner activities that could lead to involuntary resettlement of individuals or communities. Activities that lead to involuntary resettlement shall be undertaken only in exceptional circumstances for the purpose of promoting the general welfare with full justification will be reasonable and proportional and will provide appropriate forms of compensation, assistance, legal protection, and information according to the requirements with special attention to ensuring such activities do not exacerbate impoverishment risks of marginalized and disadvantaged groups and individuals. Where displacement led to significant adverse impacts, programmes or projects will support the economic and social reconstruction of affected persons lives and livelihoods</p>
<p><b>Principle 9: Protection of Natural Habitats.</b> The Fund shall not support projects/programmes that would involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities.</p>	<p><b>Safeguard standard 1: Biodiversity, Ecosystems, and sustainable natural resource management:</b> UNEP and partners will avoid and minimize adverse impacts to terrestrial, freshwater, and marine biodiversity and ecosystems in country programmes. This safeguard aims to preserve the integrity of ecosystems, conserve biodiversity and promote sustainable management and use of natural resources. The safeguard standard requires that programmes and projects will prioritize siting activities with potential adverse impacts far from critical habitats, protected areas, or areas of ecological significance. In addition, it is required that all projects and programmes will avoid activities that will adversely impact legally protected areas or areas designated for legal protection and areas recognized for high biodiversity value.</p>
<p><b>Principle 10: Conservation of Biological Diversity.</b> Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species.</p>	<p><b>Safeguard standard 1: Biodiversity, Ecosystems, and sustainable natural resource management:</b> UNEP and partners will avoid and minimize adverse impacts to terrestrial, freshwater, and marine biodiversity and ecosystems in country programmes. This safeguard aims to preserve the integrity of ecosystems, conserve biodiversity and promote sustainable management and use of natural resources.</p>
<p><b>Principle 11: Climate Change.</b> Projects/programmes supported by the Fund shall not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change.</p>	<p><b>Safeguard standard 2: Climate change and Disaster risks:</b> UNEP and partners must ensure programmes and projects integrate climate change adaptation and does not exacerbate vulnerability of communities to climate change impacts or disaster risks and to minimize programme and project related emissions.</p>
<p><b>Principle 12: Pollution Prevention and Resource Efficiency</b> Projects/programmes supported by the Fund shall be designed and implemented in a way</p>	<p><b>Safeguard standard 3: Pollution Prevention and Resource Efficiency:</b> This safeguard standard requires that programmes and projects avoid and minimize adverse effects on human health and environment from pollution and the unsound management of chemicals</p>

that meets applicable international standards for maximizing energy efficiency. and minimizing material resource use, the production of wastes, and the release of pollutants.	and wastes, promote more sustainable and efficient use of resources including circular approaches and practices of using energy land and water. In addition, avoid project related emissions, and avoid or minimize the generation of plastic waste. The pollution prevention should support the implementation of Multilateral Environmental Agreements (MEA) in the chemical and waste area.
<b>Principle 13: Public Health.</b> Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids potentially significant negative impacts on public health.	<b>Safeguard standard 4: Community health safety and security:</b> The standard addresses the need to avoid and where avoidance is not possible the need to minimize and mitigate the health and safety related risks and impacts that arise from UNEP supported activities with particular attention given to marginalized or disadvantaged groups
<b>Principle 14: Physical and Cultural Heritage.</b> Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Projects/programmes should also not permanently interfere with existing access and use of such physical and cultural resources.	<b>Safeguard standard 5: Cultural heritage:</b> UNEP and partners shall avoid adverse impacts on cultural heritage and where avoidance is not possible ensuring that all viable and feasible alternatives are explored. UNEP and partners will also ensure community participation, engage stakeholders, and use experts to assist in the identification and documentation and protection of potentially affected cultural heritage. UNEP and partners will also comply with defined national or local cultural heritage regulations.
<b>Principle 15: Lands and Soil Conservation.</b> Projects/programmes supported by the Fund shall be designed and implemented in a way that promotes soil conservation and avoids degradation or conversion of productive lands or land that provides valuable ecosystem services.	<b>Safeguard standard 1: Biodiversity, Ecosystems, and sustainable natural resource management:</b> UNEP and partners will avoid and minimize adverse impacts to terrestrial, freshwater, and marine biodiversity and ecosystems in country programmes. This safeguard aims to preserve the integrity of ecosystems, conserve biodiversity and promote sustainable management and use of natural resources. Programmes and projects will avoid and where not possible, minimize adverse impacts on soil by avoiding excessive usage of Agro chemicals.

III: Link to SRIF

[https://www.dropbox.com/scl/fi/vuwlb5elymg8cxux57k/Annex-E\\_Safeguard-Risk-Identification-Form.AFCIA-II-CLEARED-MSNT.docx?rlkey=pd1i94vymt05d5qc744ben3oo&dl=0](https://www.dropbox.com/scl/fi/vuwlb5elymg8cxux57k/Annex-E_Safeguard-Risk-Identification-Form.AFCIA-II-CLEARED-MSNT.docx?rlkey=pd1i94vymt05d5qc744ben3oo&dl=0)

The table below shows the alignment at a glance.

ANNEX C: Link to CTCN response plan template

[https://www.ctc-n.org/sites/default/files/templates/response\\_plan\\_template\\_9-2015\\_en.docx](https://www.ctc-n.org/sites/default/files/templates/response_plan_template_9-2015_en.docx)

Link to the technology Concept

<https://www.ctc-n.org/technical-assistance/submit-request>

ANNEX D: AFCIA II Budget table

I. Detailed budget

TABLE 23 - DETAILED BUDGET

**Deleted:** First a global picture of the budget and then the detail per component. [?](#)

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Budget and  
Disbursement table\_J;

Component/Outcome/Output	Activity	Deliverable / Target	Category	2014	2015	2016	2017	2018	Total	Collected by CTN	Comments
				in \$M	in \$M	in \$M	in \$M	in \$M			
Phase 1: Incubation Phase	Component 1: Innovative, transformative and locally-led climate adaptation technologies are identified, assessed and tested in developing countries	Output 1.1: Outreach and capacity building plan developed and implemented for all non-Annex I countries. 40 innovative, transformative, and locally-led climate adaptation technologies are selected	Activity 1.1.1: Prepare the communication tool to launch the program in both digital and print platforms							513,000	513,000 will be provided by UN-ICTAD in support of the CTN, with an aim to increase the number of countries that are able to participate in the program. The CTN will also provide the project launch tool.
	Output 1.2: 40 innovative, transformative, and locally-led climate adaptation technologies are identified, assessed and tested in developing countries	Activity 1.1.2: Prepare the communication tool to launch the program in both digital and print platforms	Deliverable 1.1.1: Set of communication tools used to launch the program in both digital and print platforms								
	Output 1.3: Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries	Activity 1.1.3: Prepare the communication tool to launch the program in both digital and print platforms	Deliverable 1.1.2: Set of communication tools used to launch the program in both digital and print platforms								
Sum				696,000	6,748,000	800,000			6,144,000	6,144,000	
Phase 2: Innovation Phase	Component 2: Innovative, transformative and locally-led adaptation technologies are leveraged through the establishment of enabling environments	Output 2.1: 20 enabling innovations, interventions, and tools are piloted in order to support a technology scale-up	Activity 2.1.1: Selection of 20 enabling innovations for pilot testing								
	Output 2.2: 20 enabling innovations, interventions, and tools are piloted in order to support a technology scale-up	Activity 2.1.2: Selection of 20 enabling innovations for pilot testing	Deliverable 2.1.1: Set of enabling innovations for pilot testing								
	Output 2.3: Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries	Activity 2.1.3: Selection of 20 enabling innovations for pilot testing	Deliverable 2.1.2: Set of enabling innovations for pilot testing								
Sum				200,000	800,000				1,000,000	1,000,000	
Phase 3: Innovation Phase	Component 3: Innovative, transformative and locally-led adaptation technologies are leveraged through the establishment of enabling environments	Output 3.1: 40 enabling innovations, interventions, and tools are piloted in order to support a technology scale-up	Activity 3.1.1: Selection of 40 enabling innovations for pilot testing								
	Output 3.2: 40 enabling innovations, interventions, and tools are piloted in order to support a technology scale-up	Activity 3.1.2: Selection of 40 enabling innovations for pilot testing	Deliverable 3.1.1: Set of enabling innovations for pilot testing								
	Output 3.3: Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries	Activity 3.1.3: Selection of 40 enabling innovations for pilot testing	Deliverable 3.1.2: Set of enabling innovations for pilot testing								
Sum				300,000	300,000	300,000	300,000	300,000	600,000	600,000	
Transition capacity building and knowledge sharing phase	Component 4: Innovative, transformative and locally-led adaptation technologies are leveraged through the establishment of enabling environments	Output 4.1: Outreach and capacity building plan developed and implemented for all non-Annex I countries. 40 innovative, transformative, and locally-led climate adaptation technologies are selected	Activity 4.1.1: Prepare the communication tool to launch the program in both digital and print platforms								
	Output 4.2: 40 innovative, transformative, and locally-led climate adaptation technologies are identified, assessed and tested in developing countries	Activity 4.1.2: Prepare the communication tool to launch the program in both digital and print platforms	Deliverable 4.1.1: Set of communication tools used to launch the program in both digital and print platforms								
	Output 4.3: Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries	Activity 4.1.3: Prepare the communication tool to launch the program in both digital and print platforms	Deliverable 4.1.2: Set of communication tools used to launch the program in both digital and print platforms								
Sum				31,819		300,000	340,000	300,000	1,011,819	1,011,819	
Programme Activities Cost				681,819	6,748,000	1,100,000	1,340,000	900,000	6,811,819		
Project Management Costs (UNEP CTN)	Project Execution Costs for CTN (PNC)	Aggregator Management	Programme Manager	30,000	30,000	30,000	30,000	30,000	150,000	470,000	
			Staff (Travel, Training & Support)	15,000	15,000	15,000	15,000	15,000	75,000	240,000	
			Other (Travel, Training & Support)	15,000	15,000	15,000	15,000	15,000	75,000	240,000	
Sum				150,000	150,000	150,000	150,000	150,000	600,000	600,000	
Total Programme Cost				831,819	6,898,000	1,250,000	1,490,000	1,050,000	8,413,819	8,413,819	
Implementation Budget (10% for UNEP)				83,182	689,800	125,000	149,000	105,000	841,382	841,382	
Total				915,001	7,587,800	1,375,000	1,639,000	1,155,000	9,255,201	9,255,201	

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Component/outcome/output	Activity	Deliverable
Phase 1: Incubation Phase	Component 1: Innovative, transformative and locally-led climate adaptation technologies are identified, assessed and tested in developing countries	Output 1.1: Outreach and capacity building plan developed and implemented for all non-Annex I countries with NDEs globally
	Output 1.2: 40 innovative, transformative, and locally-led climate adaptation technologies are selected	Activity 1.2.1: 40 CTN experts assess requests against established criteria of eligibility, prioritization, and
	Output 1.3: Promising 40 adaptation innovations and technologies are identified, assessed, and tested in developing countries and 40 exit strategies are formulated using NSI as a basis.	Activity 1.3.1: 40 network members or Consortium partners of the CTN are contracted by UNEP to implement the selected technical assistances. Activity 1.3.2: 40 innovative,
		Deliverable 1.1.2: communication to launch the program and the digital platform hosted under CTN webpage and hosted under CTN webpage and
		40 concept notes (TAs) are signed
		40 projects (TAs) deliverables
		40 projects (TAs) report







II. Disbursement table

TABLE 25 - DISBURSEMENT TABLE

	<u>Upon signature of Agreement (2024)</u>	<u>One Year after Project Start (2025)</u>	<u>2026</u>	<u>2027</u>	<u>2028</u>	<u>Total</u>
<u>Scheduled date</u>	2024	2025	2026	2027	2028	-
<u>Project Funds</u>	841,819	4,920,000	1,360,000	1,500,000	469,091	9,090,910
<u>Implementing Entity Fees</u>	181,818	181,818	181,818	181,818	181,818	909,090
<b><u>Total</u></b>	<b>1,023,637</b>	<b>5,101,818</b>	<b>1,541,818</b>	<b>1,681,818</b>	<b>650,909</b>	<b>10,000,000</b>

<sup>a)</sup>Use projected start date to approximate first year disbursement

<sup>b)</sup>Subsequent dates will follow the year anniversary of project start

<sup>c)</sup>Add columns for years as needed

This table has been filled in using the guidance of the fund listed below:

Project/programme activities cost = A

Project/programme execution cost = B

Total project/programme cost thus the category of the disbursement table "Project Funds"

=A+B

Implementing Entity

Fee=C

Total amount of funding requested, or the grant amount=A+B+C

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## ANNEX E: Theory of Change

### **The ToC responds to the following Problem Statement:**

Developing countries face economic, institutional, or technological barriers to the transfer and acceleration of climate technologies. Climate technology diffusion is critical to addressing the problem of climate change as the utilization, transfer and acceleration of technology help mitigate the negative climate impacts in countries and regions. The aim of AFCIA II will be to test, scale up and leverage finance for innovative, transformative, and locally led climate adaptation innovations by providing technology solutions, capacity building and advice on policy, legal and regulatory frameworks for resilience building.

### **ToC**

#### **Goal:**

IF developing countries are supported in testing, scaling up and leveraging innovative, transformative, and locally led climate adaptation technologies across the technology cycle **THEN** adaptive capacity of developing countries will be enhanced, resilience will be strengthened and vulnerability to climate change will be reduced **BECAUSE** developing countries will have initiated long-term technological transition pathways.

#### **Objectives:**

- Test, scale up and leverage innovative, transformative, and locally led adaptation technologies and anchor them into National Systems of Innovation.

#### **Outcomes:**

- Technology development capacities are strengthened through the incubation process of 40 innovative, locally led climate adaptation technologies.
- 10 successful innovative locally led climate adaptation technologies are benefiting a greater number of people through additional funding.
- Innovative, transformative, and locally led adaptation technologies are promoted through strengthened enabling environments (National Systems of Innovation).

#### **Outputs:**

- 40 innovative, transformative, and locally led climate adaptation technologies are selected.
- 40 Promising adaptation innovations and technologies are identified, assessed, and tested in developing countries, and 40 exit strategies are formulated using NSI as a basis.
- 10 most promising Innovative, transformative, and locally- led climate adaptation technologies are scaled up.
- National Systems of Innovation for 10 adaptation technologies are established or improved in developing countries.
- 3 concept notes are formulated and submitted to the Adaptation Fund.
- knowledge and capacity on adaptation technologies through Digital Public Goods, amongst other instruments, is built.
- Communication and outreach strategy and capacity building plan developed and implemented for all non-Annex I countries with NDEs globally.

#### **Drivers:**

Drivers are factors that enable the achievement of the intended outcomes of the programme. The identified enablers include:

- gender equality and empowerment are promoted bringing forth technologies ideas and strengthening the ideation process;

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... [5]

- coordination is strengthened between NDE and other existing initiatives / partners including the GCF bringing additional funding/leveraging opportunities for successful innovations
- Viable business models can be created to leverage adaptation innovations and technologies.
- High quality awareness and advocacy drive to promote ideation

**Assumptions:**

The assumptions are the external conditions necessary for project results to lead to next-level results, over which the project has no control e.g. turn-over of government officials, global financial situation, technological advances. The identified assumptions are:

- Interest and capacity of a wide range of stakeholders exist to access funding to test, scale up and leverage innovative, transformative, and locally led climate adaptation technologies
- Stakeholders have good ideas of adaptation innovations and technologies that they would like to test, scale up or leverage
- NDE, DA, NIE actively support the implementation of the programme in their countries.
- Adaptation technologies tested are promising and relevant to be scaled up and/or leveraged.
- Knowledge collection and sharing of good practices and lessons learned lead to improved practices and adoption of adaptation technologies and innovations as well as accelerated dissemination and uptake in and across countries.
- Adequate financial and human resources are available to support the implementation of the programme

**Barriers:**

The barriers are the obstacles or challenges that may prevent or hinder the desired change from occurring as part of the programme. They are the factors or conditions that must be overcome or addressed to achieve the desired outcome of the programme. The identified barriers are:

- Lack of knowledge and capacity to develop high-quality requests: If the NDEs, Adaptation Fund's focal points and project proponents do not understand the objective of AFCIA II or lack the capacity to draft the proposal then only a limited number of high-quality requests will be received.
- Lack of coordination between NDEs and Adaptation Fund's focal points: A lack of coordination or collaboration between NDEs and Adaptation Fund's focal points will make it more difficult for the proponents to get the necessary clearance to submit their requests.
- Lack of support and active engagement from national and local stakeholders: Without the full involvement and commitment of the right institutions and actors as well as the active engagement of the beneficiaries themselves, climate adaptation technologies cannot be successfully and sustainably deployed, scaled up or leveraged nationally.
- Limited funding resources: Testing technologies, establishing the relevant enabling environment, anchoring technologies to NSI require time and resources that stakeholders lack especially in developing countries, LDCs and SIDS.
- Lack of gender-responsiveness: climate adaptation technologies can be innovative, transformative, and locally led, but lack the gender-responsive component which is however key for selection and implementation success.
- Lack of a well performing enabling environment to support the deployment of the climate adaptation technologies.

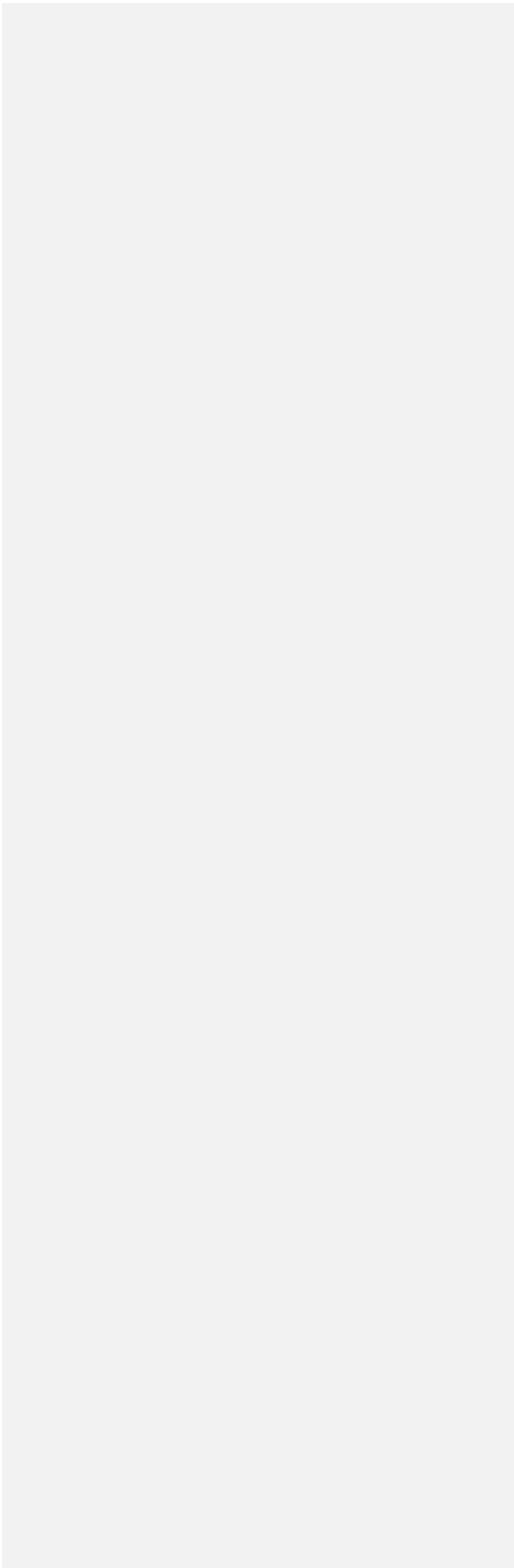
**Risks**

- Institutional risks:
  - The lack of enabling environment to encourage and support innovation limits national buy-in
  - Coordination among various climate change interventions at the country level could be an issue.

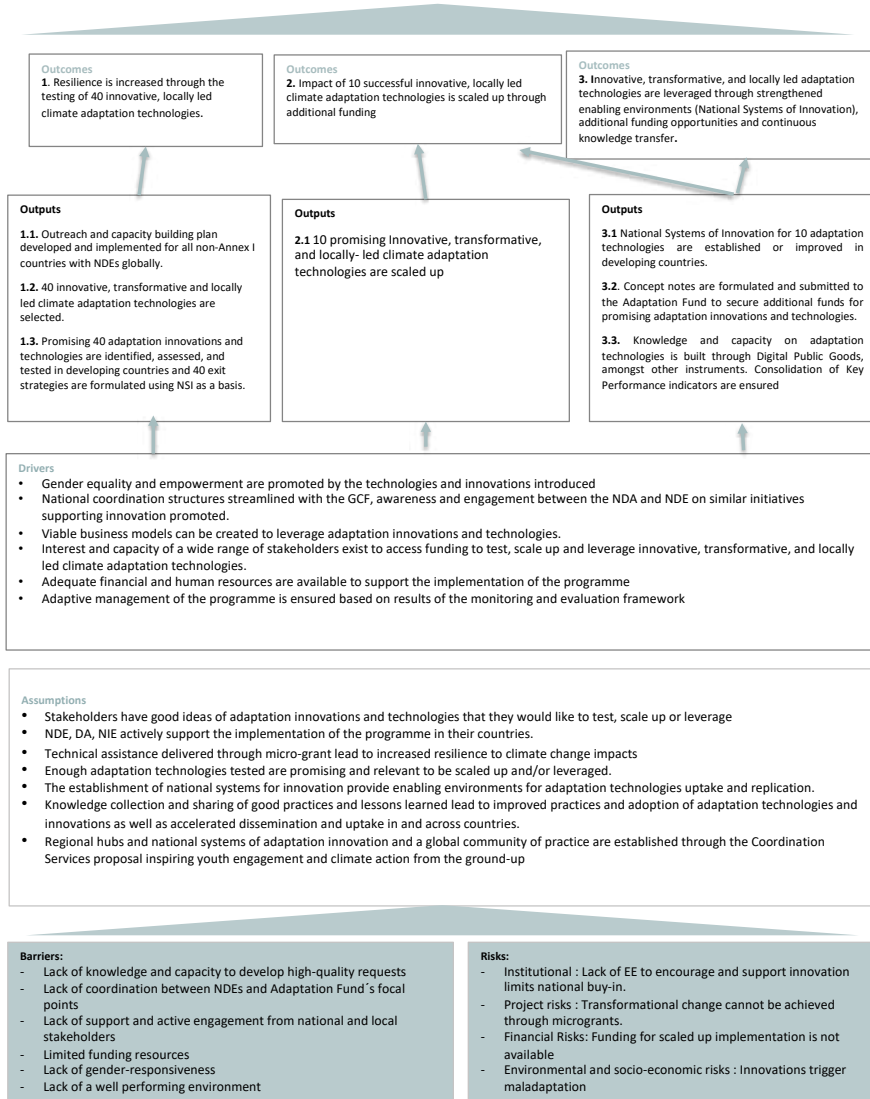
- Project Risks:
  - Transformational change cannot be achieved through micro-grants.
  - Lack of sustainability due to a weak ideation process.
- Financial Risk:
  - Funding for scaled up implementation is not available.
- Environmental and socio-economic risks:
  - Innovations trigger maladaptation .

The ToC is reflected in the diagram below.

**FIGURE 8 - UNEP CTCN AFCIA II THEORY OF CHANGE**



**Goal statement** IF developing countries are supported in testing, scaling up and leveraging innovative, transformative, and locally led climate adaptation technologies across the technology cycle THEN adaptive capacity of developing countries will be enhanced, resilience will be strengthened and vulnerability to climate change will be reduced **BECAUSE** developing countries will have initiated long-term technological transition pathways.



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## ANNEX F. Acronyms

AF - Adaptation Fund  
AFCIA - Adaptation Fund Climate Innovation Accelerator  
CTCN - Climate Technology Centre and Network  
DA - Designated Authority  
DAEs - Direct Access Entities  
CN - Concept Note  
COP - United Nations Climate Change Conference  
EC - European Commission  
GCF - Global Climate Fund  
GEF - Global Environment Fund  
GHG - Global greenhouse gas  
LDCs - Least Developed Countries  
M&E - Monitoring & Evaluation  
NAPs - National Adaptation Plans  
NAPAs - National Adaptation Programmes of Action  
NDC - Nationally Determined Contribution  
NDE - Nationally Designated Entities  
NIE - Nationally Implementing Entities  
NSI - National Systems of Innovation  
POW - Programme of Work  
SIDS - Small Island Developing States  
SRIF - Safeguard Risk Identification Form  
SPIS - Solar Powered Irrigation Systems  
TA - Technical Assistance  
TAP - Technology Action Plans  
TEC - Technology Executive Committee  
TM - Task Manager  
TNAs - Technology needs assessments  
UNDP - United Nations Development Programme  
UNEP - United Nations Environment Programme  
UNFCCC - United Nations Framework Convention on Climate Change



ANNEX G: List of recommendations from AFCIA I’s MTR and suggested action to be undertaken under UNEP CTCN AFCIA II.

MTR preliminary conclusions	MTR draft recommendations	AFCIA II responses
<p>Diminishing government engagement during procurement and project implementation, reducing ownership and a conducive enabling environment for technological replication and scale.</p>	<p>Increase accountability of implementing partners toward the government and government engagement in project governance structures notably during implementation. This should include funding the incurred costs of government participation in these sessions, notably in LDCs notably in Africa. (e.g., insisting on the dedicated budget line by implementing partners to cover travel costs) This should nevertheless remain within UNEP/CTCN financial management rules.</p>	<p>The response plans will fully integrate an engagement and accountability strategy for project proponents and NDE/DA through consultations and clearance processes. CTCN will ensure through the procurement processes that implementing entities keep a sufficient budget to support travel and other costs associated with the implementation of the engagement and accountability strategy. Please refer to table 7.</p>
<p>UNEP/CTCN procedures and project ideation via the government reduced the engagement of the full knowledge helix (including non-governmental actors, such as the private sector), in developing innovation projects.</p>	<p>Encourage the mapping and engagement of the national innovation ecosystem as a part of the formal design requirements, when developing the Response Plan</p>	<p>The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template will request a preliminary assessment of the existing national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology. Please refer to paragraphs 79 and 81.</p>
<p>Project ideas came from various sources, but nevertheless remained largely government driven, also due to the established structures and processes of the fund. There were very few, competing ideas, not even “push by science and technology”.</p>	<p>There is a need to think through how AFCIA will affect change and promote innovation, so that it can be managed accordingly. AFCIA II, also at the individual project level would substantially benefit from a more</p>	<p>In order to ensure that the ideas being sourced are the best that they can be for the targeted countries, CTCN/UNEP will test, in the coordination services proposal, an approach to support the ideation process through regional hubs that bringing together R&amp;D institutions. Those meetings will be facilitated by AFCIA IEs in one region and aim at discussing the innovations that have</p>

<p>There are limited formal Adaptation Fund and hence CTCN requirements for a Theory of Change/programme logic at the overall fund level or subsequently for individual projects and these logics remain focused on the identification and implementation of individual, technology projects.</p>	<p>detailed definition how it seeks to promote innovation, with related objectives, intermediate outcomes, related change mechanisms and causal relationships, as well as notably, underlying assumptions, for example, through a theory of change process. While a theory of change has been developed for AFCIA II, the supported projects are repeated at different levels of the logic, including at the goal level (see duplication of the goal statement and outputs 1.3 and 3.1. in particular), focusing attention on the fund management process rather than innovation itself or adaptation and resilience impacts.</p>	<p>been funded, those that have been shortlisted and those that could be prepared to invite feedback sessions to strengthen the current and future concepts. (see table 14)</p> <p>A Problem Tree and Theory of Change have been added to the AFCIA II proposal (see figure 1 and Annex E). In addition, for the second phase of AFCIA a section will be added in the response plan template that will request a preliminary assessment of the existing national innovation system to highlight how change brought by the proposed adaptation innovation or technology can be promoted and sustained. Please refer to paragraphs 79 and 81 of the proposal.</p>
<p>Of the reviewed projects, while outputs were delivered or were likely to be delivered, the one delivering real, palpable impact on community resilience was the SLAMDAM mobile flood barrier in Burundi, demonstrating the importance of delivering concrete, palpable results on the ground</p>	<p>Realise the benefit of piloting concrete interventions and technologies, in addition to technical assistance, research and studies, to demonstrate effects and obtain related learning</p>	<p>Future applicants of AFCIA II programme will be encouraged to include a component on piloting concrete interventions with short term benefits for vulnerable communities as part of their proposal (technology concept). Guidelines will suggest that at least 25% of the total technical assistant is dedicated to on the ground implementation of the adaptation innovation and/or technology to showcase the benefits of such intervention and secure future interest and engagement for its scale up. (see paragraph 72)</p>
<p>There have also been demonstrated success in leveraging additional support, namely additional government, or grant funding, for some of the introduced technologies. Nevertheless, going to market remains a challenge for adaptation innovations</p>	<p>Employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models</p>	<p>Business models and private finance will be promoted by AFCIA II programme through outcome 3, output 3.1 focused on the establishing/strengthening National Systems of Innovations for 10 successful adaptation technologies / innovation tested by AFCIA with additional TA of 80,000 USD each. This will include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling</p>

		<p>environment for future scale up and broad adoption of the adaptation technology/innovation. Please, refer to paragraph 22,113,120.</p> <p>In addition, the coordination services proposal is being revised to integrate the creation of regional hubs involving R&amp;D institutions as well as other key stakeholders for incubation of innovative ideas, improvement of proposals and sustainability of selected technologies in the different targeted countries. Those hubs will be tested in one region with the aim of attracting private sector finance to successful technologies (see table 14)</p>
Inherently, the AFCIA interventions provided technical assistance and were "pilot" in nature, requiring further systemic change, copying and replication and notably concessional financing to further and sustain their impact.	Encourage projects to design and pursue exit strategies, including the identification of additional financing options.	<p>AFCIA II reflects that project proponents will be strongly encouraged and guided to integrate the elaboration of an exit strategy as one key activities of their technical assistances to ensure that the deliverables produced will be shared and used by all relevant stakeholders and that additional financing options are identified to support scaling up of the successful adaptation technology/innovation.</p> <p>Please refer to paragraph 145.</p>
Despite the SRIFs requirement, a gender focus was presumed/taken for granted, rather than actively pursued in individual projects	In addition to increasing gender assessment, gender-specific programming, improved disaggregation of indicators and assigning greater resources (both staff and budget) to gender mainstreaming, ensure the key stakeholder also understand the value of these efforts.	<p>Gender will be more actively pursued in UNEP CTCN AFCIA II proposal through:</p> <ul style="list-style-type: none"> <li>- A mandatory gender assessment and its respective GAP will be included as a mandatory activity in each Technical Assistance</li> <li>- At least 5% of the full technical assistance budget allocated to gender mainstreaming activities.</li> <li>- Gender has been added, during the last CTCN AB meeting, as both a balancing and prioritization criteria of the technical assistance's selection process.</li> <li>- Gender related indicators of closure report have been amended to ensure strong M&amp;E on gender mainstreaming in the technical assistances following last CTCN AB meeting in September.</li> </ul> <p>Please, refer to paragraphs 75 and 162 and table 15 of AFCIA II proposal. Paragraphs</p>

		<p>80,162,187 and 208 also make reference to these gender measures.</p> <p>AFCIA coordination services will ensure coordination between the Adaptation Fund Secretariat, UNEP, CTCN, and AFCIA windows managed by other Implementing Entities (IEs)</p> <p>AFCIA Coordination Services shall reflect the need to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives supporting innovation.</p>
<p>Opportunities still remain to increase coordination among the various international actors promoting climate change innovation, including the promotion of more systemic efforts, instead of isolated, single, technology-driven initiatives.</p> <p>Coordination among various climate change interventions at the country level is an issue, as NDE is not always the ministry/department/individual responsible for implementation or for overall coordination</p>	<p>There are opportunities, also through the AFCIA II Coordination function, for greater coordination between the Adaptation Fund Secretariat, UNEP, CTCN, UNDP and other similar efforts promoting adaptation innovation globally, notably around learning and knowledge management (also around shared systems such as solar powered irrigation systems).</p> <p>AFCIA may also benefit also from a more explicit definition of innovation.</p> <p>In the framework of global efforts to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives promoting innovation.</p>	<p>AFCIA II has a transversal capacity and knowledge sharing phase including output 1.1. on the development and implementation of an outreach and capacity building plan and output 3.3 focused on building knowledge and capacity through digital public goods.</p> <p>Please, refer to the section: Detailed description of the Programme outcomes, and outputs.”</p> <p>AFCIA II will be strengthened to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.</p> <p>Please refer to paragraphs 136, 143,145,149,,178.</p> <p>The M&amp;E and closure indicators have been reviewed during the AB Meeting in Bonn in September 2023, and some amendments have been approved on gender mainstreaming and will be used for all new AFCIA I and all AFCIA II projects. The M&amp;E and closure indicators as well as the eligibility / prioritization and balancing criteria are also under review and will be discussed during COP28 along with some additional changes on the M&amp;E and closure report. One of the main reflections is about how the CTCN could continue to monitor the impact post-implementation (and report on possible leveraging /scale up opportunities)</p> <p>Please, refer to paragraph 162.</p>

		<p>AFCIA coordination services proposal shall enhance coordination, management and monitoring to support programme implementation and performance as well as promoting communication and knowledge management to support visibility and information sharing on the programme</p> <p>AFCIA coordination services proposal shall establish joint Monitoring and Evaluation framework to support standardized reporting of impact and facilitate comparison across the AFCIA II programme managed by different implementing entities.</p> <p>Finally the coordination services project will also support the development and validation of a common definition of adaptation innovation by the AFCIA II project steering committee (PSC).</p>
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	MTR conclusions	MTR recommendations	AFCIA II responses
1	Diminishing government engagement during procurement and project implementation, reducing ownership and a conducive enabling environment for technological replication and scale.	Increase accountability of implementing partners toward the government and government engagement in project governance structures notably during implementation. This should include funding the incurred costs of government participation in these sessions, notably in LDCs notably in Africa. (e.g., insisting on the dedicated budget line by implementing partners to cover travel costs) This should nevertheless remain within UNEP/CTCN financial management rules.	The response plans will fully integrate an engagement and accountability strategy for project proponents and NDE/DA through consultations and clearance processes. CTCN will ensure through the procurement processes that implementing entities keep a sufficient budget to support travel and other costs associated with the implementation of the engagement and accountability strategy. Please refer to table 7.
2	UNEP/CTCN procedures and project ideation via the government reduced the engagement of the full knowledge helix (including non-governmental actors, such as the private sector), in developing innovation projects.	Encourage the mapping and engagement of the national innovation ecosystem as a part of the formal design requirements, when developing the Response Plan	The technology concept and response plan templates include a section on the mapping of key stakeholders and their roles to support the implementation of the micro-grants project as well as a section on alignment with national priorities. For the second phase of AFCIA a section will be added in the response plan template will request a preliminary assessment of the existing

			national innovation system and main gaps to test, sustain and scale up the proposed adaptation innovation or technology. Please refer to paragraphs 79 and 81.
3	<p>Project ideas came from various sources, but nevertheless remained largely government driven, also due to the established structures and processes of the fund. There were very few, competing ideas, not even "push by science and technology".</p> <p>There are limited formal Adaptation Fund and hence CTCN requirements for a Theory of Change/programme logic at the overall fund level or subsequently for individual projects and these logics remain focused on the identification and implementation of individual, technology projects.</p>	<p>There is a need to think through how AFCIA will affect change and promote innovation, so that it can be managed accordingly. AFCIA II, also at the individual project level would substantially benefit from a more detailed definition how it seeks to promote innovation, with related objectives, intermediate outcomes, related change mechanisms and causal relationships, as well as notably, underlying assumptions, for example, through a theory of change process. While a theory of change has been developed for AFCIA II, the supported projects are repeated at different levels of the logic, including at the goal level (see duplication of the goal statement and outputs 1.3 and 3.1. in particular), focusing attention on the fund management process rather than innovation itself or adaptation and resilience impacts.</p>	<p>In order to ensure that the ideas being sourced are the best that they can be for the targeted countries, CTCN/UNEP will test, in the coordination services proposal, an approach to support the ideation process through regional hubs that bringing together R&amp;D institutions. Those meetings will be facilitated by AFCIA IEs at regional level and aim at discussing the innovations that have been funded, those that have been shortlisted and those that could be prepared to invite feedback sessions to strengthen the current and future concepts. (see table 14)</p> <p>A Problem Tree and Theory of Change have been added to the AFCIA II proposal (see figure 1 and Annex E). In addition, for the second phase of AFCIA a section will be added in the response plan template that will request a preliminary assessment of the existing national innovation system to highlight how change brought by the proposed adaptation innovation or technology can be promoted and sustained. Please refer to paragraphs 79 and 81 of the proposal.</p>
4	<p>Of the reviewed projects, while outputs were delivered or were likely to be delivered, the one delivering real, palpable impact on community resilience was the SLAMDAM mobile flood barrier in Burundi, demonstrating the importance of delivering concrete, palpable results on the ground</p>	<p>Realise the benefit of piloting concrete interventions and technologies, in addition to technical assistance, research and studies, to demonstrate effects and obtain related learning</p>	<p>Future applicants of AFCIA II programme will be encouraged to include a component on piloting concrete interventions with short term benefits for vulnerable communities as part of their proposal (technology concept). Guidelines will suggest that at least 25% of the total technical assistant is dedicated to on the ground implementation of the adaptation innovation and/or technology to showcase the benefits of such intervention and secure future interest and engagement for its scale up. (see paragraph 72)</p>

5	<p>There have also been demonstrated success in leveraging additional support, namely additional government, or grant funding, for some of the introduced technologies. Nevertheless, going to market remains a challenge for adaptation innovations</p>	<p>Employ systems thinking also to the challenge of attracting private finance to adaptation innovation, encouraging the development of accessible and affordable business models</p>	<p>Business models and private finance will be promoted by AFCIA II programme through outcome 3, output 3.1 focused on the establishing/strengthening National Systems of Innovations for 10 successful adaptation technologies / innovation tested by AFCIA with additional TA of 80,000 USD each. This will include refining the business model, and developing policies, regulations, standards, certifications that will directly impact the private sector and the market development of the technologies therefore directly contributing to creating a business enabling environment for future scale up and broad adoption of the adaptation technology/innovation. Please, refer to paragraph 22,113,120.</p> <p>In addition, the coordination services proposal is being revised to integrate the creation of regional hubs involving R&amp;D institutions as well as other key stakeholders for incubation of innovative ideas, improvement of proposals and sustainability of selected technologies in the different targeted countries. Those hubs will be organized at regional level with the aim of attracting private sector finance to successful technologies (see table 14)</p>
6	<p>Inherently, the AFCIA interventions provided technical assistance and were “pilot” in nature, requiring further systemic change, copying and replication and notably concessional financing to further and sustain their impact.</p>	<p>Encourage projects to design and pursue exit strategies, including the identification of additional financing options.</p>	<p>AFCIA II reflects that project proponents will be strongly encouraged and guided to integrate the elaboration of an exit strategy as one key activities of their technical assistances to ensure that the deliverables produced will be shared and used by all relevant stakeholders and that additional financing options are identified to support scaling up of the successful adaptation technology/innovation.</p> <p>Please refer to paragraph 145.</p>
7	<p>Despite the SRIFs requirement, a gender focus was presumed/taken for granted, rather than actively pursued in individual projects</p>	<p>In addition to increasing gender assessment, gender-specific programming, improved disaggregation of indicators and assigning greater resources (both staff and budget) to gender mainstreaming, ensure the key stakeholder also</p>	<p>Gender will be more actively pursued in UNEP CTCN AFCIA II proposal through:</p> <ul style="list-style-type: none"> <li>- A mandatory gender assessment and its respective GAP will be included as a mandatory activity in each Technical Assistance</li> <li>- At least 5% of the full technical assistance budget allocated to gender mainstreaming activities.</li> </ul>

		<p>understand the value of these efforts.</p>	<ul style="list-style-type: none"> <li>- Gender has been added, during the last CTCN AB meeting, as both a balancing and prioritization criteria of the technical assistance's selection process.</li> <li>- Gender related indicators of closure report have been amended to ensure strong M&amp;E on gender mainstreaming in the technical assistances following last CTCN AB meeting in September.</li> </ul> <p>Please, refer to paragraphs 75 and 162 and table 15 of AFCIA II proposal. Paragraphs 80,162,187 and 208 also make reference to these gender measures.</p> <p>AFCIA coordination services will ensure coordination between the Adaptation Fund Secretariat, UNEP, CTCN, and AFCIA windows managed by other Implementing Entities (IEs)</p> <p>AFCIA Coordination Services shall reflect the need to streamline national coordination structures with the GCF, promote awareness and engagement between the NDA and NDE on similar initiatives supporting innovation.</p>
8	<p>Opportunities still remain to increase coordination among the various international actors promoting climate change innovation, including the promotion of more systemic efforts, instead of isolated, single, technology-driven initiatives.</p> <p>Coordination among various climate change interventions at the country level is an issue, as NDE is not always the ministry/department/individual responsible for implementation or for overall coordination</p>	<p>There are opportunities, also through the AFCIA II Coordination function, for greater coordination between the Adaptation Fund Secretariat, UNEP, CTCN, UNDP and other similar efforts promoting adaptation innovation globally, notably around learning and knowledge management (also around shared systems such as solar powered irrigation systems).</p> <p>AFCIA may also benefit also from a more explicit definition of innovation.</p> <p>In the framework of global efforts to streamline national coordination structures with the GCF, promote awareness and engagement between the</p>	<p>AFCIA II has a transversal capacity and knowledge sharing phase including output 1.1. on the development and implementation of an outreach and capacity building plan and output 3.3 focused on building knowledge and capacity through digital public goods.</p> <p>Please, refer to the section: Detailed description of the Programme outcomes, and outputs.”</p> <p>AFCIA II will be strengthened to support the consolidation and harmonization of key performance indicators, including impact-focused indicators among all sub-grants.</p> <p>Please refer to paragraphs 136, 143,145,149,,178.</p> <p>The M&amp;E and closure indicators have been reviewed during the AB Meeting in Bonn in September 2023, and some amendments have been approved on gender</p>



		<p>NDA and NDE on similar initiatives promoting innovation.</p>	<p>mainstreaming and will be used for all new AFCIA I and all AFCIA II projects. The M&amp;E and closure indicators as well as the eligibility / prioritization and balancing criteria are also under review and will be discussed during COP28 along with some additional changes on the M&amp;E and closure report. One of the main reflections is about how the CTCN could continue to monitor the impact post-implementation (and report on possible leveraging /scale up opportunities)</p> <p>Please, refer to paragraph 162.</p> <p>AFCIA coordination services proposal shall enhance coordination, management and monitoring to support programme implementation and performance as well as promoting communication and knowledge management to support visibility and information sharing on the programme</p> <p>AFCIA coordination services proposal shall establish joint Monitoring and Evaluation framework to support standardized reporting of impact and facilitate comparison across the AFCIA II programme managed by different implementing entities.</p> <p>Finally the coordination services project will also support the development and validation of a common definition of adaptation innovation by the AFCIA II project steering committee (PSC).</p>
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### Stakeholder Engagement Plan

- Meaningful consultation and engagement processes is a strategic priority embedded in the environmental and social management system for the United Nations Environment Programme (hereby UNEP) and the Adaptation Fund Secretariat for the implementation of UNEP CTCN AFCIA II programme. This section will assist UNEP and the project team facilitate participation, engagement, conflict mitigation and decision-making by all relevant stakeholders (including communities) likely to be involved in and/or affected by the project. It will ensure that these actors are provided with sufficient opportunity to voice their opinions and concerns (should there be any) that may influence project decisions.
- This section presents: a) a summary of stakeholder consultations organized during the formulation of the AFCIA II proposal b) an overview of the stakeholder engagement activities undertaken during micro-grant projects formulation; c) a mapping of stakeholders which will be engaged during project implementation; d) a stakeholder engagement plan, technically and culturally appropriate for Developing countries and e) an appropriate grievance mechanism.

#### 1. Stakeholder's consultations organized during the formulation of AFCIA II proposal

A Mid Term Review of UNEP CTCN AFCIA I was initiated in June 2023 and is currently being finalized . A key aim of the Mid-Term Review is to encourage reflection and learning and improve future programming.

The Mid-Term Review has used a participatory approach whereby key stakeholders have been kept have been consulted and provided feedback throughout the review process. Both quantitative and qualitative review methods have been used to determine project achievements against the expected outputs, outcomes and impacts.

During the MTR several interviews of key stakeholders were organized allowing them to provide feedback on the basis of which key conclusions and recommendations were formulated for the design of the AFCIA II programme. Stakeholders who contributed include:

- UNEP Task manager and team members;
  - Director CTCN
  - Regional Program Manager CTCN – Asia
  - Regional Program Manager CTCN- Africa
  - Program Specialist -
- Representatives of Implementing Agencies and National Governments etc;
  - AF focal point of Burundi
  - AF focal point and NDE of Saint Kitts and Nevis
  - AF focal point and NDE of Nepal
  - RMSI Private Limited
  - Zephyr Consulting
  - HR Wallingford Limited
  - DHI A/S
- UNEP Fund Management Officer (FMO);
- Representatives from civil society and specialist groups (including women's, farmers and trade associations).

In addition, an email survey has been sent to all NDEs, Project Proponents, Implementing Partners in order to collect feedback on the 3 questions raised below:

- How satisfied are you with the support provided by the technical assistance in the implementation of your project funded through the Adaptation Fund Climate Innovation Accelerator (AFCIA)?
- Have you managed or are you in process to obtain additional financing/support to scale up your AFCIA funded project? If so, please provide information on the amount and source of financing
- Please list three aspects that worked well during the implementation of your AFCIA project and three aspects that could have been improved.

The MTR recommendations have been taken into account and integrated into the AFCIA II proposal (see Annex E)

## **2. Stakeholder's consultations organized during the micro-grant projects' incubation and acceleration phase**

- Several stakeholder engagement activities will be conducted during the incubation and acceleration phase of micro-grant projects involving:
  - the NDE and the project proponent(s),
  - the CTCN, the NDE, the project proponent(s) and the Designated Authority of the Adaptation Fund,
  - the CTCN, the NDE, the project proponent(s), the Designated Authority, and the community that will host the project.
  - UNEP – CTCN and the Regional Offices of UNEP

The results of these consultations will be summarized in the SRIF, as well as in the Response plans in which a preliminary stakeholder mapping will be formulated. This stakeholder mapping will be revised during the first phase of the project implementation.

### Inception calls/meetings

As soon as the implementing partners will be contracted, a close call between the NDE, the project proponent(s), the CTCN and the DA will be organized. It will be the opportunity of the country and project proponent to express their expectations and the results expected by this Technical Assistance, and the opportunity for the implementing Partner to introduce the team of experts.

Following this closed meeting, an official kick off (in-person or virtual) will be organized with all the parties invited during the closed call as well as other key relevant stakeholders.

Finally, once the stakeholder mapping would have been finalized and approved by all the parties, an official in-person inception meeting will be organized and will gather the beneficiaries including representatives of gender, vulnerable communities, representatives of the academia, private sector, financing mechanisms and other if and when relevant.

For each project, a Steering Committee will be created with decision-making entities.

### E-consultations

- E-consultations will be allowed and could be used to introduce and gather feedback from the Steering Committee on the key deliverables.
- Broader stakeholder's consultations (not only focused on the Steering Committee) will be organized in-person, except in case of Force Majeure (such as COVID-19 situation).

Field missions and community consultations

- Field missions will be mandatory. The CTCN will plan for these field missions in the Response Plans and inform the bidders during the competitive bidding process that the budget allocated to field missions, as well as to national workshops or events will need to be justified and used for the organization of field missions and in-person events.

Validation workshop

- A project validation workshop will be organized at closure of the project and will include at least, but not limited to, the following aspects: i) context of project development; ii) problem statement and project strategy (solution); iii) institutional arrangement; iv) risks and risk mitigation measures; v) exit strategy.

**3. Stakeholder identification, mapping and analysis**

- The Stakeholder mapping serves to inform the development of the project implementation’s Stakeholder Engagement Plan and facilitate the prioritization of engagement activities with stakeholders.
- The first stakeholder mapping will be done at Response Plan’s stage and will be revised and approved by the Steering Committee of the project during the first phase of the implementation.
- The stakeholder mapping will describe the interest, role and contact details of all relevant stakeholders with a potential interest in the project – as executing entity, partners, or beneficiary

3.1 Stakeholder identification (mapping)

- Mandatory stakeholders to be considered at project level will include:

TABLE 26 : POWER AND INTEREST ANALYSIS OF DIFFERENT STAKEHOLDER GROUPS

Stakeholder	Description	Influence <sup>55</sup>	Interest in project <sup>56</sup>
UNEP			
Accredited Entity of the programme		H : UNEP is the direct counterparty of the Adaptation Fund Secretariat	H: UNEP will be held responsible for the success or failure of the project.
CTCN			
Executing Entity		H : CTCN will be the entity ensuring the implementation of the programme	H: the success of AFCIA will depend of CTCN’s management

<sup>55</sup> L=low; M=Medium; H=High

<sup>56</sup> L=low; M=Medium; H=High

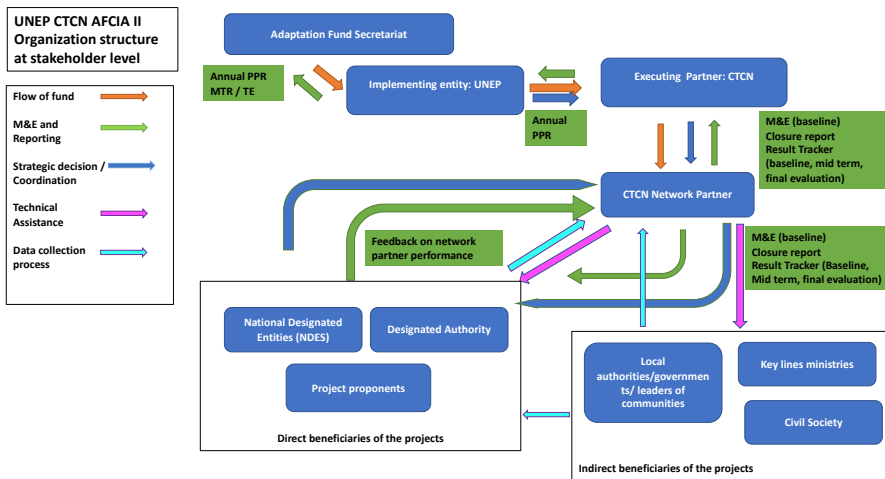
Stakeholder	Description	Influence <sup>55</sup>	Interest in project <sup>56</sup>
			of the programme.
NDE OF HOST COUNTRY			
	The contact of the NDE is available under CTCN webpage. <a href="https://www.ctc-n.org/countries">https://www.ctc-n.org/countries</a>	H: The NDE will be endorsing the requests. The signature of the NDE will make requests eligible to AFCIA II programme. The NDE will also be the main beneficiary of the proposed project.	H
DESIGNATED AUTHORITY OF THE ADAPTATION FUND			
	The contact of the DA is available under the Adaptation Fund webpage: <a href="https://www.adaptation-fund.org/apply-funding/designated-authorities/">https://www.adaptation-fund.org/apply-funding/designated-authorities/</a>	H: The DA will be a mandatory member of the Steering Committee and will supervise the implementation of each project implemented under AFCIA in its country	H
PROJECT PROPONENT			
	The project proponent can be a public, private or a non-for profit organization	H: The Project Proponent is the initiator of the project, the entity that got the idea of submitting the request.	H
UNEP REGIONAL OFFICES			
	UNEP Regional Offices will ensure that the project is aligned with national priorities and strategies and that no other identical initiatives are already being developed (or about to start).	L: UNEP Regional offices will only be contacted at specific moment such as the sourcing phase and exit strategy phase	L.

Stakeholder	Description	Influence <sup>55</sup>	Interest in project <sup>56</sup>
RELEVANT LINES OF MINISTRIES			
	Relevant lines of ministries will reflect the ownership of the project and its importance to achieve national strategies and NDCs.	H: the lack of ownership will drastically impact the implementation as well as impact and sustainability of the project	H.
COMMUNITY LEADERS, LOCAL AUTHORITIES or GOVERNMENT AND LOCAL ASSOCIATIONS			
	Communities hosting the Technical Assistances Local authorities or Government of local authorities	H: Local authorities /governments and community engagement in project activities is key to ensure project success and progress towards planned targets. Community members will also influence the smooth or rough implementation of project interventions (e.g. destruction of project equipment due to lack of understanding from the community).	H
	Civil society	M: the civil society should support the project's main objective of increased climate change resilience.	H
	Local chiefs/ leaders	H: Local leaders have a clear influence on project acceptance by the local communities. Their full support and commitment	H

Stakeholder	Description	Influence <sup>55</sup>	Interest in project <sup>56</sup>
		to the proposed project will reduce risks of damages caused by the local population to project assets, or risk of limited participation.	

Figure 10 represents the implementation arrangements of the proposed AFCIA II project and how key stakeholders will be involved and contribute during the implementation of the programme. The project team will especially engage with stakeholders having the highest level of influence and interest in the project to ensure smooth implementation, as well as complementarities and synergies with other initiatives.

FIGURE 9: IMPLEMENTATION ARRANGEMENTS AND STAKEHOLDER ENGAGEMENT



### 3.2 Engagement plan

- The project is underpinned by locally led climate adaptation technologies. Therefore meaningful, effective and informed consultation processes will be critical to the success of the project. The project will seek to identify priorities of stakeholders and provide them with opportunities to express their views at all points in the project decision-making process on matters that affect them. Meaningful, effective and informed consultation processes will possess the following characteristics:
  - Free of external manipulation, interference, coercion, and intimidation.
  - Gender and age-inclusive and responsive.
  - Culturally appropriate and tailored to the language and accessibility preferences and decision-making processes of each identified stakeholder group, including disadvantaged or marginalized groups. Where applicable, includes differentiated measures to allow effective participation of disadvantaged or vulnerable groups, including persons with disabilities.
  - Based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans.
  - Initiated early in the programme implementation, continued iteratively throughout the programme and project life cycle, and adjusted as risks and impacts arise.
  - Addresses social and environmental risks and adverse impacts, and the proposed measures and actions to address these.
  - Seeks to empower stakeholders, particularly marginalized groups, and enable the incorporation of all relevant views of affected people and other stakeholders into decision-making processes, such as project goals and design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.
  - Documented and reported in accessible form to participants, in particular the measures taken to avoid or minimize risks to and adverse impacts on the project stakeholders.
  - Consistent with the States' duties and obligations under international law.

**Table 1: Stakeholder Engagement plan**

Stakeholder group	Project's Outputs/ Activities	Engagement strategy	M&E	Responsibilities
UNEP	All Outcomes and activities	Accredited Entity, provide oversight and support to the implementation of the programme and is responsible for key reporting and M&E	PPR (annual) MTR (once) TE (once) Member of the Steering committee	UNEP is the Accredited Entity acting as Implementing Entity
CTCN	All Outcomes and activities	Executing Entity Mandatory member of the Steering Committee of all projects	Signature on the Response Plan. Signature on all deliverables Payment of invoices Member of the Steering committee	CTCN acts as the Executing Entity

Deleted: 15



NDE	Output 1.2, 1.3 Output 2.1 Output 3.1, 3.2	Endorsing entity Mandatory member of the Steering Committee at project level	Signature on the Response Plan. Approval on all deliverables Member of the Steering committee	The NDE of the host country will endorse the Technical Assurances and will be involved in all the TA implemented in its country
Designated Authority (DA)	Output 1.2, 1.3 Output 2.1 Output 3.1, 3.2	Mandatory member of the Steering Committee at project level	Signature on the Response Plan. Approval on all deliverables Member of the Steering committee	The DA will follow, supervise and coordinate the implementation of the projects hosted within its country.
Project Proponent	Output 1.2, 1.3 Output 2.1 Output 3.1, 3.2	Mandatory member of the Steering Committee at project level	Signature on the Response Plan. Approval on all deliverables Member of the Steering committee	The PP is a direct beneficiary of the TA and will follow, supervise and coordinate the implementation of the projects hosted within its country.
UNEP Regional offices	Activity 1.2.3 Activity 2.1.1 Activity 3.1.1	Support in the sourcing and selection of the technical assistances	Review and right to comment on the TA during the selection process. Encourage, guide and advise potential TA applicants	UNEP Regional office will ensure that the TA is aligned with national priorities and strategies and will avoid duplicating past/ongoing or about to be

				initiated initiatives.
Communities and local associations	Activity 1.2.4 Activity 1.3.2 Activity 2.1.4 Activity 3.1.4 Activity 3.2.2	Engagement will be ensured throughout the implementation of the Technical Assistances as defined in the Response Plan (ToR).	Attend inception workshop.  Participate to meetings, training events, workshops.  Field visit to project sites	The Implementing Partner of the Technical Assistance (ToRs include stakeholder consultations)
Civil society	Activity 1.2.4 Activity 1.3.2 Activity 2.1.4 Activity 3.1.4 Activity 3.2.2	Relevant local associations will be involved in the implementation of the locally led Technical Assistances through a stakeholder mapping done at formulation stage and review after the kick off, through an inception workshop, continuous stakeholder consultations and trainings and finally with the closure workshop.	Inception workshop  Community consultation  Minutes of Stakeholders Consultation and attendance list	The Implementing Partner of the Technical Assistance
Local authorities /governments and leaders at community level	Activity 1.2.4 Activity 1.3.2 Activity 2.1.4 Activity 3.1.4 Activity 3.2.2	Engagement of local leaders will be initiated during the project's introductory meetings. Leaders and chiefs will contribute to the following activities: - They will contribute to the selection of project beneficiaries - They will be consulted to ensure the design of locally-appropriate solutions and technologies. - They will be consulted to design locally-appropriate awareness-raising campaigns on the benefits of	Inception workshop report  Community consultation  Minutes of Stakeholders Consultation and attendance list	The Implementing Partner of the Technical Assistance

		the climate innovation technology - They will be invited to the inception workshop		
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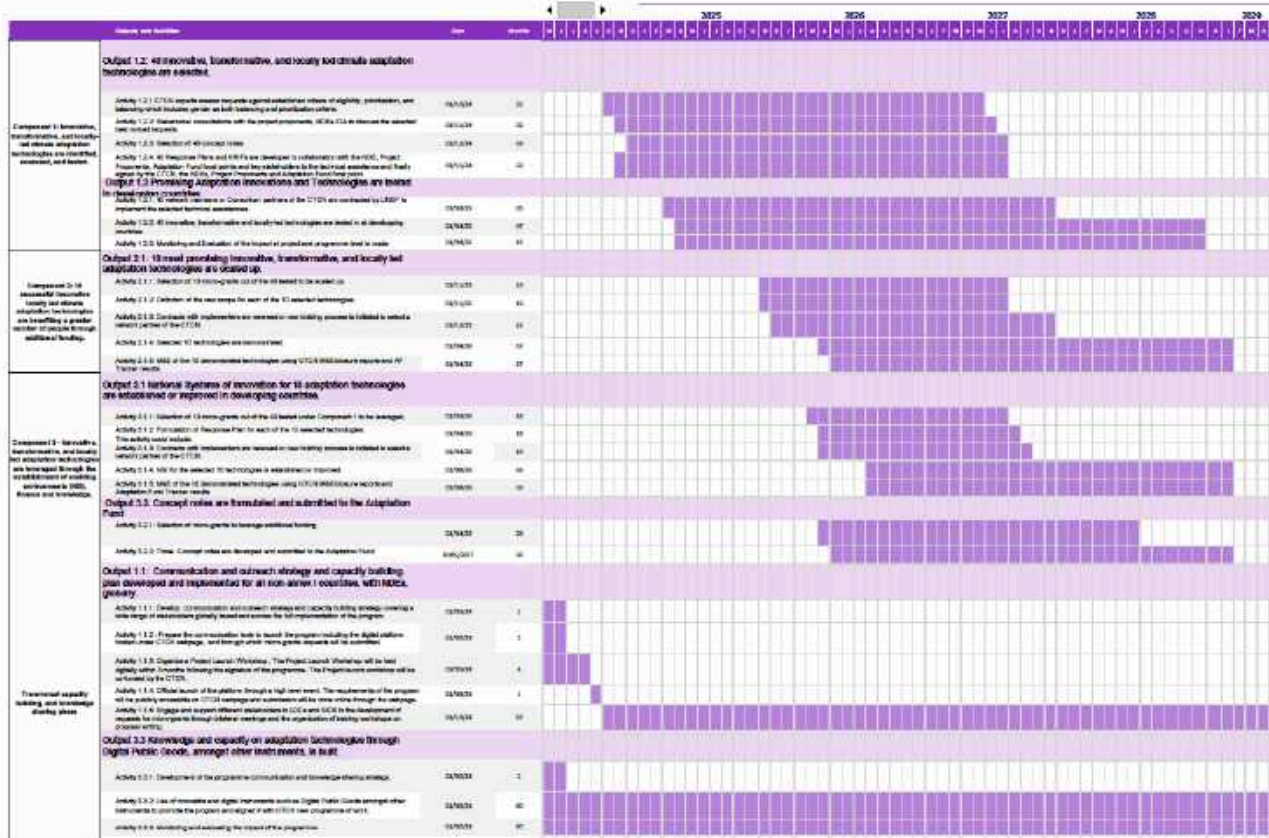
- Note that the budget related to stakeholder engagement is imbedded within the project’s budget for the technical components (salaries of consultants, travel, workshops and project management team).
- A minimum of 5% of the total budget will need to be used for gender mainstreaming activities as a mandatory activity of the CTCN, following the decision of the Advisory Board held on September 2023 in Bonn.
- Documentation and information about the Technical Assistances shall be published by the CTCN on the project webpage. Key project technical products and lessons learned/good practices will also be shared to Adaptation Fund through the annual PPR, MTR and TE.

**4. Grievance redress mechanism:**

A grievance redress mechanism will be clearly defined and established through protocols and made publicly available from CTCN webpage. It will follow UNEP’s procedures as well as Adaptation Fund’s ESP and ESMS. The project team will respond promptly to any concerns observed or reported to avoid their escalation to grievances. The response process will be managed by CTCN with complaints not addressed referred to UNEP as a second step. Roles and responsibilities will be further detailed in the GRM protocols that will be developed at project inception phase and presented during the launch workshop.

The programme grievance redress mechanism will be established and introduced during the programme launch workshop as well as each selected TA projects’ kick off meetings and the links will be made publicly available via the CTCN AFCIA website. The project team will respond promptly to any concerns observed or reported to avoid their escalation to grievances. Protocols will be developed to establish the Grievance Redress Mechanism following UNEP’s Stakeholder Response Mechanism (SRM) providing the opportunity for people who believe they have been adversely affected by activities that are implemented or executed as part of AFCIA II projects to submit complaints directly to CTCN and UNEP.. The response process will be managed by CTCN with complaints not addressed referred to UNEP as a second step. Protocols will describe the dissemination strategy of the GRM, explains the process of complaints registration and sets the GRM operating procedures to respond to the requests and address the grievances.

Annex I : Gantt Chart



Annex J - Risk assessment and ESMP

**Introduction**

The Environmental and Social Policy (ESP) of the Adaptation Fund requires that the programme as well as all micro-grant projects be screened against the following 15 principles identified by AF.

TABLE 27 - LIST OF ADAPTATION FUND'S ESP

Adaptation Fund's environmental and social principles
<i>Compliance with the Law</i>
<i>Access and Equity</i>
<i>Marginalized and Vulnerable Groups</i>
<i>Human Rights</i>
<i>Gender Equity and Women's Empowerment</i>
<i>Core Labour Rights</i>
<i>Indigenous Peoples</i>
<i>Involuntary Resettlement</i>
<i>Protection of Natural Habitats</i>
<i>Conservation of Biological Diversity</i>
<i>Climate Change</i>
<i>Pollution Prevention and Resource Efficiency</i>
<i>Public Health</i>
<i>Physical and Cultural Heritage</i>
<i>Lands and Soil Conservation</i>

This policy ensures that projects supported by the Fund promote positive environmental and social benefits and mitigate or avoid adverse environmental and social risks and impacts. This annex presents a detailed risk identification and management plan (ESMP).

**ESP Risks Identification**

Using Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy, UNEP formulated the AF ESP checklist. Please, refer to Table 13 of the proposal.

This annex aims at presenting a preliminary risk assessment of the AFCIA programme. A preliminary risk assessment will be done at micro-grant project level upon their selection through the SRIF (please, refer to paragraph 208 and annex B).

**Impact assessment**

TABLE 28- IMPACT ASSESSMENT OF THE RISKS IDENTIFIED.

Checklist of environmental and social principles	Potential Risks identified	Impact assessment of the risks identified under Table 13.	Impact of Risk <sup>1</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)  <i>Please refer to thematrix below</i>
<i>Access and Equity</i>	There is a risk that the most vulnerable groups might have no access to project benefits because of inexistent mechanisms to ensure participation of communities, marginalized, vulnerable groups, and stakeholder and local authorities' (Component 1,2 and 3).	The impact of this risk will be high. If the programme does not benefit communities and most vulnerable groups because of inexistent mechanisms to ensure the participation of the beneficiaries, resilience of those who need it the most will not be increased, climate adaptation technologies will not be adopted and AFCIA II will not have achieved its main objective.	5	1	L
<i>Marginalized and Vulnerable Groups</i>	There is a risk that the beneficiary might have no access to project benefits because of inexistent mechanisms to ensure participation of communities, marginalized, vulnerable groups, and stakeholder and local authorities' (Component 1,2 and 3).	The impact of this risk will be high. If the programme does not benefit the most vulnerable groups because of inexistent mechanisms to ensure the participation of the beneficiaries, resilience of these communities will not be increased, climate adaptation technologies will not be adopted and AFCIA II will not have achieved its main objective	5	2	L

<p><i>Gender Equity and Women's Empowerment</i></p>	<p>There is a risk that either women or men has unequal opportunities to participate to the projects / programme considering their working schedules or lifestyles. (Component 1, Component 2 and 3).</p>	<p>The impact of this risk will be high because women are the most affected by the impact of climate change. If women cannot participate to the implementation of the projects or benefit from them then resilience of these communities will not be increased, climate adaptation technologies will not be adopted and AFCIA II will not have achieved its main objective.</p>	5	2	L
<p><i>Indigenous Peoples</i></p>	<p>There is a risk that Indigenous Peoples have unequal opportunities to participate to the projects / programme considering their working schedules, lifestyles, or languages. (Component 1, 2 and 3).</p>	<p>The impact of this risk will be high because minorities are the most affected by the impact of climate change. If and when indigenous people are leaving in the areas of the project's implementation cannot participate to the implementation of the projects and to the Comms and Sharing activities organised under this programme, transfer of knowledge would not be achieved, and resilience would not be increased.</p>	5	1	L

<i>Climate Change</i>	The programme aims at testing Climate Change adaptation technologies. There is a risk that the projects/ programme could be impacted by climate change hazard which could have repercussion on the implementation (such as delays in the expected calendar) .	The impact of this risk is rated as medium because the objective of this programme is to test climate adaptation technologies. It will therefore be implemented in countries and places that are witnessing strong climate change impacts increasing the likelihood that one of the project activities be disrupted or delayed due to those impacts.	2	2	L
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#### General Categorization of the risks

TABLE 29 - CATEGORIZATION OF THE RISKS

Adaptation Fund's Principles	Checklist of environmental and social principles	Risk Associated Yes/ NO	Categorization of the risk based on Adaptation Fund
1	<i>Compliance with the Law</i>	No	C
2	<i>Access and Equity</i>	Yes	C
3	<i>Marginalized and Vulnerable Groups</i>	No	C
4	<i>Human Rights</i>	No	C
5	<i>Gender Equity and Women's Empowerment</i>	Yes	C
6	<i>Core Labour Rights</i>	No	C



7	<i>Indigenous Peoples</i>	No	C
8	<i>Involuntary Resettlement</i>	No	C
9	<i>Protection of Natural Habitats</i>	No	C
10	<i>Conservation of Biological Diversity</i>	No	C
11	<i>Climate Change</i>	Yes	C
12	<i>Pollution Prevention and Resource Efficiency</i>	No	C
13	<i>Public Health</i>	No	C
14	<i>Physical and Cultural Heritage</i>	No	C
15	<i>Lands and Soil Conservation</i>	No	C

The proposed project is categorized as C according to the ESP policy. Category C corresponds, under the Adaptation Fund, to projects with low risks.

In order to limit the probability of occurrences of the risks identified, UNEP CTCN has identified mitigation measures presented under the following Environmental and Social Management Plan (ESMP).

#### ESMP

This ESMP describes the risks that have been identified, the negative impacts that are expected and the measures that are needed to manage or avoid those negative impacts. The ESMP presented in the table below includes 6 columns:

- The AF principles to which the risk is associated.
- The definition of the risk.
- The negative impacts expected.
- The mitigation measures suggested .
- The entity responsible to implement these measures.
- The roles of UNEP and CTCN in implementing this ESMP
- The source of funding
- The data that will be used to monitor and report on the ESMP.

**TABLE 30 – ESMP**

AF PRINCIPLES	RISK IDENTIFIED	NEGATIVE IMPACTS EXPECTED (IMPACT ASSESSMENT)	MITIGATION MEASURES	WHO IS RESPONSIBLE FOR THE IMPLEMENTATION OF THE ESMP	WHO ASSUMES WHICH ROLES?	SOURCE OF FUNDING	DATA TO MONITOR AND REPORT ON THE ESMP
Access and Equity	THERE IS A RISK THAT THE VULNERABLE GROUPS MIGHT HAVE NO ACCESS TO PROJECT BENEFITS BECAUSE OF INEXISTENT MECHANISMS TO ENSURE PARTICIPATION OF COMMUNITIES, MARGINALIZED, VULNERABLE GROUPS, AND STAKEHOLDER AND LOCAL AUTHORITIES' (COMPONENT 1,2 AND 3).	IMPACT: HIGH RESILIENCE OF THESE COMMUNITIES WILL NOT BE INCREASED; CLIMATE ADAPTATION TECHNOLOGIES WILL NOT BE ADOPTED AND AFCIA II WILL NOT HAVE ACHIEVED ITS MAIN OBJECTIVE.	Stakeholder consultations will be organized from sourcing to closure of the projects / programme (please refer to Annex H. A stakeholder mapping will be conducted Response Plan's stage and updated at project start together with the establishment of a Steering Committee. These stakeholder's mapping will consider conventional and non-conventional stakeholders, as well as women, youth, vulnerable people. Additional stakeholder's consultations, workshops, capacity buildings, and other types of events will be requested on a project-by-project basis in the Response Plan and implemented by the IP with the support of the NDE, and of the project proponent and the DA if relevant.  The transversal capacity building, and knowledge sharing phase of the project, component 3 , has been created with the intention to reach non-conventional stakeholders		CTCN	CTCN IS RESPONSIBLE FOR THE RESPONSE PLAN STAGE AND SUPERVISION THROUGHOUT IMPLEMENTATION.  Implementing Partners and governmental counterparts (NDE, DA) will be responsible during micro-grant implementation with CTCN support and monitoring along with the Project Proponent.  UNEP, AS IMPLEMENTING ENTITY WILL PROVIDE OVERSIGHT AND GUIDANCE.	Consultations will be included in the Response Plans and funded through the budget allocated to each selected micro-grant (USP). The budget will be managed by the awarded implemented partner.  THE MONITORING WILL BE ENSURED THROUGH THE FOLLOWING DATA: PRESENCE OF STAKEHOLDER ENGAGEMENT PLAN, NUMBER OF CONSULTATIONS CONDUCTED, MINUTES OF THE WORKSHOPS ORGANIZED, ACTIVITIES' PARTICIPANTS LISTS DISAGGREGATED BY GENDER AND YOUTH, NUMBER OF DIRECT AND INDIRECT BENEFICIARIES.  Frequency of report: Once a year through PPR.

<p><b>MARGINALIZED AND VULNERABLE GROUPS</b></p>	<p><b>THERE IS A RISK THAT THE BENEFICIARY MIGHT HAVE NO ACCESS TO PROJECT BENEFITS BECAUSE OF INEXISTENT MECHANISMS TO ENSURE PARTICIPATION OF COMMUNITIES, MARGINALIZED, VULNERABLE GROUPS, AND STAKEHOLDER AND LOCAL AUTHORITIES' (COMPONENT 1,2 AND 3).</b></p>	<p><b>IMPACT: HIGH</b></p> <p><b>RESILIENCE OF THESE COMMUNITIES WILL NOT BE INCREASED; CLIMATE ADAPTATION TECHNOLOGIES WILL NOT BE ADOPTED AND AFCIA II WILL NOT HAVE ACHIEVED ITS MAIN OBJECTIVE</b></p>	<p>Stakeholder consultations will be organized from sourcing to closure of the projects / programme (please refer to Annex H). A stakeholder mapping will be conducted Response Plan's stage and updated at project start together with the establishment of a Steering Committee. These stakeholder's mapping will consider conventional and non-conventional stakeholders, as well as women, youth, vulnerable people.</p> <p>Additional stakeholder's consultations, workshops, capacity buildings, and</p>	<p><b>CTCN</b></p>	<p><b>CTCN IS RESPONSIBLE FOR THE RESPONSE PLAN STAGE AND SUPERVISION THROUGHOUT IMPLEMENTATION.</b></p> <p>Implementing Partners and governmental counterparts (NDE, DA) will be responsible during implementation with CTCN support and monitoring along with the Project Proponent.</p> <p><b>UNEP, AS IMPLEMENTING ENTITY WILL PROVIDE OVERSIGHT AND GUIDANCE.</b></p>	<p>Consultations will be included in the Response Plans and funded through the budget allocated to each selected micro-grant (USP).. The budget will be managed by the awarded implemented partner.</p>	<p>The monitoring will be ensured through the <i>following data: presence of stakeholder engagement plan, number of consultations conducted, minutes of the workshops organized, activities' participants lists</i> disaggregated by gender and youth, number of direct and indirect beneficiaries</p> <p><b>FREQUENCY OF REPORT: ONCE A YEAR THROUGH PPR.</b></p>
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			<p>other types of events will be requested on a project-by-project basis in the Response Plan and implemented by the IP with the support of the NDE, and of the project proponent and the DA if relevant.</p> <p><b>THE TRANSVERSAL CAPACITY BUILDING, AND KNOWLEDGE SHARING PHASE OF THE PROJECT, COMPONENT 3 , HAS BEEN CREATED WITH THE INTENTION TO REACH NON-CONVENTIONAL STAKEHOLDERS</b></p>				
<b>GENDER EQUITY AND WOMEN'S EMPOWERMENT</b>	There is a risk that either women or men has unequal opportunities to participate to the projects /	<b>IMPACT: HIGH</b> Transfer of knowledge would not be achieved, and resilience	<p>Stakeholder consultations will be organized from sourcing to closure of the projects / programme (please refer to Annex H).</p> <p>A programme gender Assessment, Gender Action Plan, and gender</p>	<b>CTCN</b>	<b>CTCN IS RESPONSIBLE FOR THE RESPONSE PLAN STAGE AND SUPERVISION THROUGHOUT</b>	CTCN will manage gender empowerment and implementation of GAP at	Number of beneficiaries disaggregated by gender and youth.

	<p>programme considering their working schedules or lifestyles. (Component 1, Component 2 and 3).</p>	<p>would not be increased.</p>	<p>monitoring indicators have been formulated. Please, refer to Annex K.</p> <p>A pre-gender assessment will be formulated for each micro project at response plan stage. A detailed gender assessment will be formulated at Implementation stage.</p> <p><b>THE TRANSVERSAL CAPACITY BUILDING, AND KNOWLEDGE SHARING PHASE OF THE PROJECT, COMPONENT 3 , HAS BEEN CREATED WITH THE INTENTION TO REACH WOMEN, YOUTH, AND THE MOST VULNERABLE</b></p>		<p><b>IMPLEMENTATION</b></p> <p>Implementing Partners and governmental counterparts (NDE, DA) will be responsible during implementation with CTCN support and monitoring.</p> <p><b>UNEP, AS IMPLEMENTING ENTITY WILL PROVIDE OVERSIGHT AND GUIDANCE</b></p>	<p>programme level.</p> <p>UNEP's IE fee will be used for oversight and monitoring.</p> <p>Gender empowerment at project level will be integrated in the micro-grants to conduct specific activities and achieve specific targets on gender during project implementation</p>	<p>Closure report of the CTCN (demonstrating the use of minimum 5% in gender mainstreaming activities)</p> <p>The team of expert implementing the projects with a mandatory gender expert.</p> <p>The pre-and detailed gender assessment developed for each project.</p> <p>The gender responsive comms products developed (at least one success story, one factsheet).</p> <p>Webinars and capacity trainings targeting gender and youth organized</p>
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							<p>during the launch of the programme as well as during the implementation of the programme. (at least one session on gender and climate technologies organized for the launch , at least 3 online training workshops on integrating gender dimensions on micro-grants proposals are organized. At least 3 dissemination products are formulated on the impact of gender and Climate Change / gender and technology and promoted through innovative and digital instruments).</p>
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<p><b>INDIGENOUS PEOPLES</b></p>	<p>There is a risk that Indigenous Peoples have unequal opportunities to participate to the projects / programme considering their working schedules, lifestyles, or languages. (Component 1, 2 and 3).</p>	<p><b>IMPACT: HIGH</b> Transfer of knowledge would not be achieved, and resilience would not be increased.</p>	<p>When a project is implemented in an area with indigenous people, stakeholder consultations will be organized with these communities from sourcing to closure of the projects / programme (please refer to Annex H).</p> <p>A stakeholder mapping will be formulated at Response Plan's stage along with a SRIF that will identify possible risks for these communities. The stakeholder mapping will serve to identify the organizational structure of the community and to design a focal point that will oversee participating to the implementation through the Steering Committee.</p> <p>Another, more detailed stakeholder mapping will be done at the start of the project and will serve to create a Steering Committee with the roles and responsibilities of each member.</p> <p>Additional stakeholder's consultations, workshops, capacity buildings, and other types of events will be requested on a project-by-project basis in the Response Plan and implemented by the IP with the support of the NDE, and of the project proponent and the DA if relevant.</p>	<p><b>CTCN</b></p>	<p><b>CTCN IS RESPONSIBLE FOR RESPONSE PLAN STAGE AND SUPERVISION THROUGHOUT IMPLEMENTATION</b></p> <p>Implementing Partners and governmental counterparts (NDE, DA) will be responsible during implementation with CTCN support and monitoring.</p> <p><b>UNEP, AS IMPLEMENTING ENTITY WILL PROVIDE OVERSIGHT AND GUIDANCE</b></p>	<p><b>CONSULTATIONS WILL BE INCLUDED IN THE RESPONSE PLANS AND FUNDED THROUGH THE BUDGET ALLOCATED TO EACH SELECTED MICRO-GRANT (USP).. THE BUDGET WILL BE MANAGED BY THE AWARDED IMPLEMENTED PARTNER.</b></p> <p><b>CTCN WORK WILL BE FUNDED THROUGH THE EE COSTS.</b></p>	<p><b>THE MONITORING WILL BE ENSURED THROUGH THE FOLLOWING DATA: PRESENCE OF STAKEHOLDER ENGAGEMENT PLAN, NUMBER OF CONSULTATIONS CONDUCTED, MINUTES OF THE WORKSHOPS ORGANIZED, ACTIVITIES' PARTICIPANTS LISTS DISAGGREGATED BY GENDER AND YOUTH, NUMBER OF DIRECT AND INDIRECT BENEFICIARIES.</b></p> <p><b>FREQUENCY OF REPORT: ONCE A YEAR THROUGH PPR</b></p>
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			<b>THE TRANSVERSAL CAPACITY BUILDING, AND KNOWLEDGE SHARING PHASE OF THE PROJECT, COMPONENT 3 , HAS BEEN CREATED WITH THE INTENTION TO ENSURE THAT THE PROJECT IS FULLY UNDERSTOOD AND SUPPORTED BY INDIGENOUS PEOPLE.</b>				
<b>CLIMATE CHANGE</b>	The programme aims at testing Climate Change adaptation technologies. There is a risk that the projects/ programme could be impacted by climate change hazard which could have repercussion on the implementation (such as delays in the expected calendar) .	<b>Impact: Medium</b> Project s/ programme implementation could be affected by climate change hazards.	<p>Projects will be implemented by Network Members of the CTCN and selected through a competitive bidding process following the rules of the UN (please refer to paragraph 31 of the proposal). It is a mandatory requirement for the bidders to demonstrate that it has a team of experts based on the host country (and available to spend long-period of time in the host country).</p> <p>In case climate change hazards would impact the project, the CTCN, the NDE, DA, project proponents and Ips will define together realistic mitigation measures, using examples of things that were done during COVID-19 pandemic.</p> <p>Annual monitoring of the projects will be ensured through the M&amp;E, closure report, PPR, and TE. (Please refer to Part II- Section N). lessons learned and recommendations at MTE level will be taken forward to improve the second phase of the programme</p>	<b>CTCN</b>	<p><b>CTCN IS RESPONSIBLE FOR RESPONSE PLAN STAGE AND SUPERVISION THROUGHOUT IMPLEMENTATION</b></p> <p>Implementing Partners and governmental counterparts (NDE, DA) will be responsible during implementation with CTCN support and monitoring.</p> <p><b>UNEP, AS IMPLEMENTING ENTITY WILL PROVIDE OVERSIGHT AND GUIDANCE</b></p>	<b>THE MICRO-GRANTS WILL BE USED TO IMPLEMENT THE PROJECTS.</b>	<b>ANNUAL PPR M&amp;E Closure Report MTR TE</b>

**List of monitoring indicators for each impact identified.**

**TABLE 31 - MONITORING INDICATORS FOR THE IDENTIFIED RISKS**

<b>ESP Principles</b>	<b>Impact identified</b>	<b>Indicator</b>	<b>Reference to the proposal</b>
<p><i>Access and Equity</i></p> <p><i>Marginalized and vulnerable groups.</i></p> <p><i>Gender Equity and Women's Empowerment</i></p>	<p>Resilience of the most vulnerable groups will not be increased; climate adaptation technologies will not be adopted and AFCIA II will not have achieved its main objective</p>	<p>Degree to which capacity of project proponent is strengthened through the incubation process.(baseline: 0)</p> <p>Number of beneficiaries Among which % of women and youth (baseline : 0)</p> <p>Degree to which the process of developing requests for micro-grants has been based on a supportive approach to identifying innovation needs and barriers in the country.(baseline : 0)</p> <p>Degree to which the awareness raising strategy of the project has incentivized stakeholders to consider uptake of the adaptation technologies being show-cased. (baseline: 0)</p>	<p>Table 18: Results framework</p>
<p>Indigenous People</p>	<p>Transfer of knowledge would not be achieved, and resilience would not be increased.</p>	<p>Degree to which capacity of project proponent is strengthened through the incubation process. baseline: 0)</p> <p>Degree to which the process of developing requests for micro-grants has been based on a supportive approach to identifying innovation needs and barriers in the country. baseline: 0)</p>	<p>Table 18: Results framework</p>

		Degree to which the awareness raising strategy of the project has incentivized stakeholders to consider uptake of the adaptation technologies being show-cased. baseline: 0)	
Climate Change	Key activities could be disrupted or delayed due to strong climate change impacts	<p>N° of innovative, transformative, and locally led adaptation technologies tested, scaled up and anchored into an NSI. baseline: 0)</p> <p>Number of successful technologies scaled up in developing countries: baseline: 0)</p> <p>Number of NSI established or improved in developing countries: baseline: 0)</p> <p>Number of concept notes submitted to the Adaptation Fund( baseline: 0)</p>	Table 18: Results framework

## Annex K – Gender Assessment

### Introduction

Please, find below a preliminary gender assessment at programme level. Gender assessments at micro-grant level will be developed during the implementation of all micro grant projects. Gender assessments at programme and projects level as well as the Gender Action Plan (GAP) follow UNEP and AF guidance / policies and checklist. The programme gender assessment will be updated based on results of the micro-grant project assessments during the programme.

#### 1. Gender Assessment

A gender assessment is requested to be conducted at the early stage of the project/programme development to inform the proposal development. As a living document, a gender assessment is not static, but will be updated and revised throughout implementation in response to UNEP CTCN monitoring and progress reporting and its findings as part of required adaptive project/programme management.

A gender assessment has been developed according to the Annex II of the Gender Guidance Document of the Adaptation Fund. This gender assessment is done at programme level and will be updated during programme implementation through PPR on the basis of the gender assessments and GAP developed at project level (USP).

A deeper analysis at project level (USP) will be done at sourcing stage through a pre-gender assessment requested in the submission template, at design stage through the specific section of CTCN's template of the Response Plan and, at implementation stage through the mandatory activity on the development of a detailed gender assessment (please refer to para 162).

Monitoring at project level will be ensured through the M&E, CTCN closure report, PPR, MTE, TE.

### Background

Women and men interact with the environment differently and influence environmental degradation both positively and negatively in different ways. The importance of mainstreaming gender is recognized by:

- UNEP long-standing commitment to Gender. Reflected in its lead role in supporting the development of the first comprehensive analysis of the State of the Environment and Gender in 2016 (the Global Gender and Environment Outlook), UNEP integrates and mainstreams gender across all programme areas including biodiversity, pollution, climate change and chemicals. UNEP's work is guided by two overarching policy frameworks : its own gender policy and the United Nations System-Wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP).
- The United Nations Framework Convention on Climate Change (UNFCCC)<sup>57</sup> in the Lima Work programme and other provisions, specifically decisions 36/CP.7, 1/CP.16, 23/CP.1, 18/CP.20, D 1/CP.21 (Paris Agreement), 21/CP.22 and over 50 other decisions or mandates relate to gender, women or socially responsible policy. The first three decisions focused on improving the participation

<sup>57</sup> [https://unfccc.int/files/meetings/bonn\\_nov\\_2017/application/pdf/cp23\\_auv\\_gender.pdf](https://unfccc.int/files/meetings/bonn_nov_2017/application/pdf/cp23_auv_gender.pdf).

of women in UNFCCC negotiations and in delegation to the COP. The Lima work-programme 18/CP.20 focused on the importance of gender-responsive climate actions. Further, the UNFCCC Gender Action Plan (CP.23) reinforces the need for more gender-responsive actions and identifies priority areas including capacity building, gender balance and women's leadership, coherence and monitoring and reporting.

- The Adaptation Fund through its Gender Policy and Action Plan<sup>58</sup> has the objective "to strive to uphold women's rights as universal human rights and to attain the goal of gender equality, the empowerment of women and girls and the equal treatment of people regardless of gender, including the equal opportunities for access to Fund resources and services, in all Fund operations through a gender mainstreaming approach".

### Gender and climate change

Climate change, environmental degradation and disasters do not affect everyone in the same way; gender, age, ethnicity and income level, among other factors, can influence how people experience and are affected by environmental stress.

Women in contexts of deep-rooted gender inequality, as well as children, the elderly, people with disabilities and those from ethnic minorities, are disproportionately at risk of being affected by slow-onset or sudden-onset disasters (e.g., hurricanes, storms, floods, land degradation, rising temperatures and sea level rise, etc.). Gender roles and responsibilities, as well as a deep economic and social gender divide and under-representation in decision-making at different levels, can place women in vulnerable conditions. When extreme events such as storms and floods occur, for example, poor women are 14 times more likely to die than men<sup>59</sup>. This is due to factors such as greater responsibilities in the home, low decision-making power in the family and lack of education or access to information.

**Table 24: Direct and indirect impacts of climate change on women**

Sector	Impacts of climate change	Impacts on women
Natural Resources and agriculture	<ul style="list-style-type: none"> <li>- Drought and/or flooding due to temperature changes and unpredictable climate</li> <li>- Decline in soil fertility</li> <li>- Reduced crop yields or crop failure</li> <li>- Scarcity of resources</li> <li>- Lack of clean and safe water</li> </ul>	<ul style="list-style-type: none"> <li>- Increased burden of household work and time spent collecting water, food and fuel such as firewood (sometimes leading to lower primary school enrolment and literacy rates and early marriage)</li> <li>- Increased hunger and reduced calorie intake for women, exposure to contaminated water sources</li> <li>- In areas where there are restrictions on their land ownership rights, they are excluded from access to fertile land</li> <li>- Loss of traditional land tenure</li> </ul>
Natural disasters	<ul style="list-style-type: none"> <li>- More unpredictable and intense weather events</li> </ul>	<ul style="list-style-type: none"> <li>- Lack of survival skills commonly taught to boys (e.g., swimming or tree climbing skills)</li> <li>- Women generally excluded from decision-making in post-disaster recovery efforts</li> <li>- Girls are the first to be withdrawn from schools in the wake of disasters</li> </ul>

<sup>58</sup> [https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-Annex-4\\_GP-and-GAP\\_approved-March2021pdf-1.pdf](https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-Annex-4_GP-and-GAP_approved-March2021pdf-1.pdf)

<sup>59</sup> Climate Change: Connection, Gender, Population and Climate Change, Resource Kit, Eleanor Blomstrom, Sarah Cunningham, Nadia Johnson, Cate Owren, UNFA and ZEDO, 2009

Health	<ul style="list-style-type: none"> <li>- Increase in water-borne or vector-borne diseases (e.g., malaria due to increased temperatures and storms)</li> <li>- Increase in heat-related illnesses</li> <li>- Increased malnutrition</li> </ul>	<ul style="list-style-type: none"> <li>- Pregnant and breastfeeding women, the very young and the very old are the most vulnerable to health risks</li> <li>- Increased lack of health services, immunisation, family planning, reproductive health care in the affected areas</li> <li>- Possible increase in maternal and infant mortality rates due to lack of care</li> <li>- Lack of hygiene services and supplies in emergency shelters for pregnant, lactating and menstruating women</li> </ul>
Growth of population	<p>Projected population growth in areas most exposed to severe climate change and where people depend on natural resources for survival</p>	<ul style="list-style-type: none"> <li>- Conflict over dwindling public and natural resources</li> <li>- Continuing threats to the most vulnerable populations</li> <li>- High fertility rate, affecting women's health</li> </ul>
Urbanization	<ul style="list-style-type: none"> <li>- Increased rural exodus due to degradation of environmental resources</li> <li>- Decline in productivity</li> <li>- Conflicts over resources</li> <li>- Makeshift shelters and community expansion</li> </ul>	<ul style="list-style-type: none"> <li>- Makeshift settlements are sometimes improvised, unhealthy and dangerous, lacking water and sanitation and built on vulnerable land</li> <li>- Tendency of formal urban markets to benefit men more</li> <li>- Lack of access to health services for poor urban women</li> <li>- Projected increase in urban poverty</li> </ul>
Movements migration and travel of populations	<ul style="list-style-type: none"> <li>- Disasters can cause displacement, both temporary and permanent, internal and international</li> <li>- Incentives for both women and men to move due to environmental degradation and conflict over resources</li> <li>- Possible forced migration due to regional vulnerability</li> </ul>	<ul style="list-style-type: none"> <li>- Women make up at least half of the world's migrant population, but their needs are not prioritized by migration policies</li> <li>- They often lack the means to move around, but in a post-disaster situation they may lack more to meet household needs</li> <li>- Forced migration may exacerbate women's vulnerability, limited access to resources and livelihood options and gender-based violence</li> </ul>
Structure of the households	<ul style="list-style-type: none"> <li>- Deaths due to natural disasters, loss of family members and changes in family structure due to migration/travel</li> </ul>	<ul style="list-style-type: none"> <li>- Increase in the number of female heads of household due to male migration or other factors</li> <li>- Lack of resources for female heads of household in recovery programs/insurance schemes or funds that prioritize women's access</li> <li>- Lack of land rights compromising women's food and livelihood security</li> <li>- Strengthening the gender division of labour</li> </ul>

		Decrease in women in some households due to female mortality from disasters
Conflict and violence	<ul style="list-style-type: none"> <li>- Conflicts over scarce resources can lead to antagonism or displacement</li> <li>- Irregular rainfall and scarcity of natural resources can increase the risk of civil war by 50%.</li> <li>- Anxiety and distress increase over insecure livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>- Amplification of gender inequalities because of conflict: although there is a high incidence of male deaths and injuries in combat, other consequences of conflict affect women, such as rape and other forms of gender-based violence</li> <li>- High levels of domestic, post-disaster and relief camp violence</li> </ul>

Source: UNEP.

### Gender and climate technologies

Technologies are not gender neutral, and tackling climate change demands that everyone's experience and skills are utilized. Therefore, climate technology action needs to ensure that women and men are both engaged in decision-making processes, development and use of technologies, and benefit from their outcomes. Women commonly face higher risks and greater burdens from the impacts of climate change, and their needs must be addressed to ensure effective and equitable climate change actions. Women also bring new perspectives and innovations in identifying and implementing solutions. Below you will find gender-related publications, partners, CTCN technical assistance, technologies and other information for exploring the topic of gender and climate change solutions further.

This programme will mainly focus on climate change adaptation and cross cutting activities.

The main barriers to women to access climate change technologies are:

- **Technological:** The word "technology" is typically known to simply mean a tool or machine. However, the term has now evolved to a broader concept that also includes knowledge, processes, activities, and socio-cultural context. As such, technology reflects the foundation of everyday life and touches upon most aspects of both women and men's lives. Technology is never gender-neutral and when coupled with the negative effects of the changing climate, it is even less gender-sensitive. Technological developments related to climate change should consider women's specific priorities, needs and roles, and make full use of their knowledge and expertise, including indigenous knowledge and traditional practices<sup>60</sup>. Women's involvement in the development of new technologies can ensure that they are user-friendly, affordable, effective and sustainable.
- **Financial:** Gender inequalities in access to resources, including credit, extension services, information and technology, must be considered in developing activities designed to curb climate change. Women should also have equal access to training, credit and skills-development programmes to ensure their full participation in climate change initiatives<sup>61</sup>.
- **Institutional:** Governments should thus be encouraged to incorporate gender perspectives into their national policies, action plans and other measures on sustainable development and climate change, through carrying out systematic gender analysis; collecting and utilizing sex-disaggregated data; establishing gender-sensitive benchmarks and indicators; and developing practical tools to support

<sup>60</sup>

[https://www.un.org/womenwatch/feature/climate\\_change/downloads/Women\\_and\\_Climate\\_Change\\_Factsheet.pdf](https://www.un.org/womenwatch/feature/climate_change/downloads/Women_and_Climate_Change_Factsheet.pdf)

<sup>61</sup> Resource Guide on Gender and Climate Change [http://content.undp.org/go/cms-service/download/asset/?asset\\_id=1854911](http://content.undp.org/go/cms-service/download/asset/?asset_id=1854911)

increased attention to gender perspectives.

- **Educational:** In many developing countries, the access of girls and women to information and communication technology is constrained by social and cultural bias, inadequate technological infrastructure in rural areas, women's lower education levels (especially in the fields of science and technology) and the fear of or lack of interest in technology, and women's lack of disposable income to purchase technology services<sup>62</sup>

#### Lessons learnt on AFCIA I and gender.

The following findings on gender have been collected through the last PPR and the Mid Term review of the AFCIA I programme:

**Gender equality promotion and mainstreaming guidance were available via AF/UNEP/CTCN and there was awareness in recipient countries of this guidance.** The overall guiding gender principles of AFCIA are defined under the AF Gender Policy. CTCN has also developed a Gender Policy and Action Plan, which was updated and approved by the Board during the 22nd Advisory Board meeting held in Bonn in September 2023. Notably, this will apply only to most recent AFCIA projects. According to the latest PPR, all new AFCIA projects are fully aligned with the AF gender principles and policy.

**Gender mainstreaming was promoted particularly through the environmental and social safeguards.** Criteria six of the UNEP ESSF ensures that supported interventions "promote and demonstrate gender equality, and empowerment of vulnerable groups, including women and youth." Gender is at the centre of three specific questions in the first section of the SRIF to ensure the project does not have unintended negative impacts on gender equality" (PPR 2023). Only small grant project with low risks in the SRIF have been selected by the programme.

**Gender and inclusion were also incorporated into the project selection design and implementation requirements but were less effectively implemented.** Gender equality was one of the project selection criteria of the AFCIA I programme. The CTCN Gender Mainstreaming Tool was used to develop the response plans and guide the design, implementation and monitoring of technical assistance. The tool followed a three-step approach: 1) Perform gender analysis; 2) Develop action plan; 3) Monitor and Evaluate. Implementing partners are required to report on gender indicators and provide gender disaggregated data where applicable. The latest PPR nevertheless recognises the weaknesses in the disaggregation of indicators by sex, which is not done at the programme level and is followed on a case-by-case basis by individual projects. When collected, gender-disaggregated data relates mainly to meeting and training participation figures. These gender disaggregated indicators are now also a part of more formal requirements for AFCIA.

**Despite these requirements, very few projects had a strong gender dimension.** According to the MTR and interviews, "despite the SRIFs obligation, there was little more formal gender analysis conducted or purposeful design of gender-related action plans/activities in the concept notes/response plans.

1. **A gender focus was largely presumed at the programme and individual project level through the nature of the supported interventions.** The programme MTR recognised that "only few projects reflected a very strong gender focus". A gender focus was largely presumed, due to the substantial engagement of women in the responsible governmental institutions (e.g., St. Kitts and across the Caribbean), or in the given sector (agriculture in Burundi, Ghana). Gender impacts are also expected in three upcoming projects in Malawi, Nigeria, and Guatemala, solely by way of their request and implementation by the beneficiary communities (PPR 2023).

#### Expectations on AFCIA II and gender

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<sup>62</sup> Training Manual on Gender and Climate Change. Rep. IUCN, UNDP, Global Gender and Climate Alliance. Web. <http://data.iucn.org/dbtw-wpd/edocs/2009-012.pdf>



AFCIA programme phase II will facilitate collaboration across a broad range of stakeholders in promoting inclusive, gender-responsive, technology development and transfer, including endogenous and indigenous technologies.

**AFCIA has recognised the weaknesses of the programme in relation to gender and several amendments have already been made to the design of AFCIA II.** These include:

- A mandatory gender assessment and its respective GAP will be included as a mandatory activity in each Technical Assistance
- At least 5% of the full technical assistance budget allocated to gender mainstreaming activities.
- Gender has been added, during the last CTCN AB meeting, as both a balancing and prioritization criteria of the technical assistance’s selection process.
- Gender related indicators of closure report have been amended to ensure strong M&E on gender mainstreaming in the technical assistances following last CTCN AB meeting in September.
- The need for Implementing partners to include at least one gender expert in their proposals.

Please, refer to paragraphs 75 and 162, as well as to the GAP, table12.

Table 15 of AFCIA II proposal list the identified risks at proposal level and its mitigation measures .

Paragraphs 80,162,187 and 208 also refer to these gender measures.

## 2. Gender mainstreaming actions

**Gender-responsive measures** are developed to address identified differences, impacts and risks, ensure the programme provides equitable benefits for all gender groups, and explore opportunities for transformative genderactions that contribute to permanently shifting existing discriminating gender norms and power structures towards more gender equality.

The information and data generated by the gender assessment are the basis for possible subsequent gender mainstreaming actions that informs the programme planning and design and helps identify the gender- responsive activities needed in the implementation stage, in budgeting and in monitoring and evaluation.

Gender mainstreaming actions are reflected in most of the activities designed at programme level, as demonstrated in the table below. Each activity will be monitored through qualitative indicators that are defined under the Gender Action Plan

TABLE 32.- GENDER RESPONSIVE ACTIVITIES

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Components	Activities defined in the programme	Does this activity integrate gender
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		<b>mainstreaming actions?</b>
Transversal capacity building and Knowledge Sharing phase Outcome 1 Output 1.1	Activity 1.1.1: Develop communication and outreach strategy and capacity building strategy covering a wide range of stakeholders globally based and across the full implementation of the program.	Develop a gender responsive communication and outreach strategy and capacity building strategy
Incubation Phase Outcome 1	Activity 1.1.2 Prepare the communication tools to launch the program including the digital platform hosted under CTCN webpage, and through which micro-grants requests will be submitted.	Gender responsive communication products are prepared for the launch of the programme.
	Activity 1.1.3: Official launch of the platform through a high-level event.	Official launch of the programme is targeting women through specific sections on gender and climate adaptation technologies
	Activity 1.1.4: Engage and support different stakeholders in LDCs and SIDS in the development of requests for micro-grants through bilateral meetings and the organization of training workshops on proposal writing.	Improve the quality of the gender assessment at sourcing stage through capacity building workshops.
	Activity 1.2.1 CTCN experts assess requests against established criteria of eligibility, prioritization, and balancing which includes gender as both balancing and prioritization criteria.	Requests are assessed and selected against gender related criteria.
	Activity 1.2.4: 40 Response Plans and SRIFs are developed in collaboration with the NDE, Project Proponents, Adaptation Fund focal points and key stakeholders to the technical assistance and finally signed by the CTCN, the NDEs, Project Proponents and Adaptation Fund focal point.	Develop gender pre-assessment for the selected projects within the response plans
	Activity 1.3.1: 40 network members or Consortium partners of the CTCN are contracted by UNEP to implement the selected technical assistances.	Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.
	Activity 1.3.2: 40 innovative, transformative and locally led technologies are tested in at developing countries.	impact of 40 tested technologies on gender is assessed and strengthened
	Activity 1.3.3: Monitoring and Evaluation of the impact at project and programme level is made.	Monitoring and Evaluation of the impact on gender at project and programme level is made.
Acceleration Phase Outcome 2 and Outcome 3	Activity 2.1.1 and 2.1.2 Selection of 10 micro-grants out of the 40 tested to be scaled up.	Requests are assessed and selected against gender criteria
	Activity 2.1.3: Contracts with implementers are renewed or new bidding process is initiated to select a network partner of the CTCN.	Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.
	Activity 2.1.4: Selected 10 technologies are demonstrated and strengthened	gender impact of the 10 selected for scale up technologies is demonstrated
	Activity 2.1.5: M&E of the 10 demonstrated technologies using CTCN M&E/closure reports and AF Tracker results.	Monitoring and Evaluation of the impact on gender at project and programme level is made.
	Activity 3.1.1: Selection of 10 micro-grants	Requests are assessed and selected

	out of the 40 tested under Component 1 to be leveraged.	against gender criteria
	Activity 3.1.2: Formulation of Response Plan for each of the 10 selected technologies.	Develop gender pre-assessment for the selected projects within the response plans
	Activity 3.1.3: Contracts with implementers are renewed or new bidding process is initiated to select a network partner of the CTCN.	Technical Evaluation of the bids received through UN competitive bidding includes the review of gender specialist profiles.
	Activity 3.1.4: NSI for the selected 10 technologies is established or improved.	gender responsive NSI for the selected 10 technologies is established or improved
	Activity 3.1.5: M&E of the 10 demonstrated technologies using CTCN M&E/closure reports and Adaptation Fund Tracker results.	Monitoring and Evaluation of the impact on gender at project and programme level is made.
	Activity 3.2.1: Selection of micro-grants to leverage additional funding.	Requests are assessed and selected against gender criteria
	Activity 3.2.2: Three Concept notes are developed and submitted to the Adaptation Fund	Three gender assessments are developed for the three Concept notes and submitted to the Adaptation Fund
Transversal capacity building and Knowledge Sharing phase Output 3.3	Activity 3.3.1: Development of the programme communication and knowledge sharing strategy.	Gender responsive communication products are formulated.
	Activity 3.3.2: Use of innovative and digital instruments such as Digital Public Goods amongst other instruments to promote the program and aligned it with CTCN new programme of work.	Innovative and digital instruments are used to promote the program and reach women.
	Activity 3.3.3: Monitoring and evaluating the impact of the programme	Monitoring and Evaluation of the impact on gender at project and programme level is made.

### 3. Project/programme-specific plan for gender action

As per the AF gender Guidance Document, a Gender Action Plan (GAP) has been developed. Please refer to table 12 of the proposal. It includes the following components:

- **Activities:** description of the concrete activities the project/programme will put in place to respond to identified gender risks, differences, gaps or opportunities. For example: Poor and female headed households (FHHs) provided with drought-resistant improved seeds.
- **Indicators and targets:** selected to measure the quantity, quality and timeliness and performance of products (goods or services) that are the result of specific activity (to include sex- and gender-disaggregation considering relevant intersectionality such as ethnicity or indigeneity where possible to indicate how benefits are distributed); usually one per activity. For example: X% FHHs and X% of other vulnerable HHs (e.g. widowed, minorities, disabled, the elderly) in project areas provided with improved seeds. While an indicator will measure absolute results, targets measure improvements/increases over time. Both require a baseline to indicate the status quo at the start of the activity. The indicators and targets from the GAP must be integrated into the main results framework of the project/programme.
- **Timeline:** indicates when an activity would start (for example, "year x of implementation"), how long it might run and when it should be completed; important for sequenced gender activities building on each other.

- **Responsibilities:** describes which party/organization/entity/implementation partner will be responsible for ensuring the achievement of specific targets and indicators,(ex. the IE or executing entity in charge of implementing the specific activity. The overall responsibility for monitoring the successful implementation of the GAP rests with the IE.
- **Costs:** calculates the approximate budgetary allocation for undertaking each activity considering both material costs as well as the costs of associated staffing resources (ex. for a gender consultant). The costs for the GAP must be reflected in the full project/programme budget, with the costs monitoring the implementation of the GAP integrated into the budgeted M&E plan (as required under Part III, Section D of the full project proposal template).

#### 4. Integration of these aspects into the general project/program

- Component : Please refer to the table titled “ Gender Responsive activities”.
- **implementation arrangements:**
  - o including its **budget** : Gender resources have been allocated to the Programme. Please refer to the budget (annex D), as well as to the Table 17. At project level, at least 5% of the approved budget will be allocated to gender and a gender specialist is mandatory to the team of experts for all projects executed by the CTCN.
  - o **Results framework:** Table 18 has been amended to reflect the indicators selected under the GAP.

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