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A PRACTITIONER'S GUIDE TO

ESTABLISHING A COMMUNITY-BASED ADAPTATION PROGRAMME

RECOMMENDATIONS BASED ON A UNDP-GEF
COMMUNITY-BASED ADAPTATION PILOT PROJECT





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September 2015

**A PRACTITIONER'S GUIDE TO ESTABLISHING
A COMMUNITY-BASED ADAPTATION
PROGRAMME: RECOMMENDATIONS BASED
ON THE UNDP-GEF CBA PILOT PROJECT**

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Authors: Charles Nyandiga and Anna Lisa Jose (UNDP/SGP)
Editors: Julia Dudnik Stern (Suazion) and Lance W. Garmer
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ACRONYMS

CBA	Community-based adaptation
CBO	Community-based organization
CSO	Civil society organization
GEB	Global environmental benefits
GEF	Global Environment Facility
M&E	Monitoring and evaluation
NAPA	National adaptation programme of action
NGO	Non-governmental organization
NSC	National steering committee
PMU	Programme management unit
SGP	Small Grants Programme
SIDS	Small Island Developing States
SPA	[GEF] Strategic Priority on Adaptation
UN	United Nations
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNV	United Nations Volunteers
VRA	Vulnerability reduction assessment

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BACKGROUND AND METHODOLOGY

CONTEXTUAL BACKGROUND


Developed for local and national-level practitioners interested in community-based adaptation (CBA) to climate change, this guide presents the lessons and practices from the pilot global CBA project funded by the Global Environment Facility (GEF) under the Strategic Priority on Adaptation (SPA) window and implemented by the United Nations Development Programme (UNDP) through the GEF Small Grants Programme (SGP) mechanism. The guide provides general principles for conducting CBA processes in a manner that resembles a ‘cook book’ for

CBA project development and implementation. To illustrate the processes and principles, the guide provides practical examples of how CBA can be accomplished in real project situations by drawing on the field experiences of the SPA CBA project, which was implemented across 10 countries in varying representative geographic areas.

The SPA CBA project was implemented in partnership with communities of different cultural backgrounds. There were three levels of interventions—global, national and local—with

a coordinating structure at each implementation level. A project management unit operated at the global level, in collaboration with national coordinators supported by national steering committees. Led by the grantee(s), site-level coordination functions were managed by a group of local stakeholders, who regularly came together to confirm the decrease of vulnerability to climate change in the targeted ecosystems and the communities they support. This reduction is attributed to CBA project activities and interventions, as demonstrated by facilitated vulnerability reduction assessment (VRA) sessions conducted by local-level monitoring and consultative groups comprised of community opinion leaders conversant with the environmental issues in each geographic area.

This guide presents practical situations at national, subnational or local levels, depending on the expected reach, impacts and resources of a particular project. Practitioners and project staff should interpret the procedures and processes detailed in this guide in the context appropriate to their specific situations. The guide also explores new directions and areas of potential for enhanced CBA programming, such as integrated landscape approaches.



This guide provides general principles for conducting CBA processes in a manner that resembles a ‘cook book’ for CBA project development and implementation.

INTRODUCTION

In 2007, the United Nations Inter-governmental Panel on Climate Change (IPCC) alerted policymakers¹ that communities with the least resources have the lowest ability to adapt to climate-related consequences and are, therefore, often most vulnerable to climatic changes. This makes adaptation to climate change a core issue of environmentally sustainable development. In addition, adaptation puts the spotlight on equity within communities, as it has been shown that children, women and other marginalized groups are among those most affected by the adverse impacts of climate change. UNDP recognizes adaptation as one of its top priorities in addressing climate change. Because different regions and communities suffer from different impacts of climate change, effective adaptation strategies need to be contextualized to local needs and conditions.

With this recognition, UNDP spearheaded local adaptation work through the UNDP Community-Based Adaptation (CBA) project, which was piloted in 10 countries² during 2008-2013. The Global Environment Facility (GEF) allocated US\$4.5 million under its Strategic Priority on Adaptation (SPA) window for this pilot. Delivered through the GEF Small Grants Programme (SGP) and UNDP country offices, the project was designed as a learning process for small-scale project and policy laboratories to test and validate practices and policies. These individual projects helped reduce vulnerability and increase adaptive capacity to the adverse effects of climate change on communities by using the established focal areas of GEF work as entry points for CBA interventions.³ These projects also generated knowledge on achieving adaptation at the local level through improving national ownership and linkages to intergovernmental projects and policies.⁴

The Australian Agency for International Development (AusAID), the Government of Japan and the Government of Switzerland co-funded the SPA CBA project alongside GEF. United Nations Volunteers (UNV), an implementation partner that also provided parallel financing in seven⁵ of the 10 pilot countries, assigned international and national volunteers to enhance community mobilization, foster volunteer

Community members reforest eroded hills in a CBA Jamaica project.



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- 1 IPCC, 2007. IPCC Fourth Assessment Report by Working Group II.
 - 2 Bangladesh, Bolivia, Guatemala, Jamaica, Kazakhstan, Morocco, Namibia, Niger, Samoa and Viet Nam.
 - 3 GEF Council paper GEF/C.27/Inf.10 - Operational Guidelines for the Strategic Priority "Piloting An Operational Approach To Adaptation", as stated in the CBA *Prodoc*, p. 11, 2008.
 - 4 UNDP, 2008. Community-based Adaptation Project Document. Governments of Bangladesh, Bolivia, Guatemala, Jamaica, Kazakhstan, Morocco, Namibia, Niger, Samoa, and Viet Nam, p. 6.
 - 5 Bolivia, Guatemala, Jamaica, Morocco, Namibia, Niger and Samoa.

contributions, ensure inclusive project participation and facilitate building the capacities of partner non-governmental and community-based organizations (NGOs and CBOs).

Through awareness-raising and knowledge-generating initiatives on climate change and its variability, local-level adaptation to climate change impacts has increased exponentially in most developing countries. Hence, the CBA project's planning and implementation stages were easier than the design stage of the pilot initiative. The growth of CBA-related knowledge has been fairly rapid, although country-level awareness of this initiative began in the late 2000s. The first international workshop on CBA took place in Dhaka, Bangladesh, in January 2005. Since then, information and news coverage of climate change adaptation have become increasingly available, continuing to raise public awareness in many countries and communities.

Grants given to individual SPA CBA projects ranged from an average of \$30,000 to \$50,000. Similarly, up to \$2,000 was disbursed for planning grants.⁶ In some cases, projects spent additional amounts (of up to 5 percent of the total grant budget) on capacity-building initiatives for the grantees. Since 2009, the SPA CBA project has:

- Increased communities' adaptive capacity by providing robust social and scientific solutions to reducing their vulnerability to adverse impacts of climate hazards;
- Influenced national policies and programmes to include community adaptation priorities, leading to best practices' replication at national and local levels; and
- Contributed towards global environmental benefits.

The project's outcomes provide solutions for specific adaptation challenges in selected focal areas and geographic regions, including Africa, Arab States, Central and Southeast Asia, the Pacific, Latin America and the Caribbean. These solutions, most of which are interrelated and have a holistic approach, have been replicated and scaled up, taking into account the scientific and socio-economic distinctiveness of each intervention area. The project has provided decision makers and policymakers with tested, proven solutions and processes that can be mainstreamed into target countries' development plans and strategies and that can also serve as a guide for other developing economies.

The long-term goal of the CBA project is ensuring preparedness for the continuing impacts from climate change, including variability. Communities tend to be

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6 The amount used for planning grants (up to US\$2,000) is deducted from the maximum US\$50,000 per SPA CBA project.



Left: Women plant salinity-resistant crops in Bangladesh. Right: Followed by her son, a woman waters their home garden established by the CBA Bangladesh project to provide food and income-generating options for women with family obligations.

Pilot CBA projects used a collaborative approach involving many players, including civil society organizations, United Nations agencies, academic institutions and government bodies. In particular, working with United Nations Volunteers and other volunteer organizations, such as the United States Peace Corps, provided support in mobilizing community volunteers.

more motivated to develop short-term solutions for climate-induced problems. With increased adaptive capacity and resilience of livelihoods, short-term and long-term goals can be addressed simultaneously. Adaptation to current variability is often the best preparation for adapting to future challenges and impacts.

Towards this goal, pilot CBA projects used a collaborative approach involving many players, including civil society organizations (CSOs), UN agencies, academic institutions and government bodies. In particular, working with UNV and other volunteer organizations, such as the US Peace Corps, provided support in mobilizing community volunteers. Pilot projects have demonstrated that community mobilization and participation, including participatory monitoring, are essential not only to managing local interventions, but also to enhancing their long-term ownership and sustainability—and, ultimately, to successfully abating climate risks.

The CBA project was the first full-size GEF-funded programme to pilot community-level adaptation and conclusively demonstrate that local adaptation activities can reduce communities' vulnerability to climate change and the variability of climate-related parameters. The programme has also provided a road map for assessing communities' CBA potential and developing similar community-based adaptation projects. On a larger scale, the diversity of adaptation activities, lessons and practices that emerged from the 63 CBA pilots, which spanned four continents with varied geographic characteristics, provided constructive policy and development lessons to inform future CBA work.

PURPOSE

The purpose of this guide is to help a wide range of civil society, government and development practitioners to design, develop and implement national and subnational CBA programmes. The guide sets out the fundamental components and processes of each stage in a CBA project cycle, from developing a CBA country programme strategy to formulating project concepts, preparing project proposals, executing legal agreements between parties and managing interventions on the ground.

Since the guide aims to assist practitioners working on CBA projects across various different geographic areas and contexts, it provides detailed information on the roles and responsibilities of overarching management units, national and local project officials, and project partners. The guide also covers approaches to building stakeholder consensus at the national and local levels, modalities for project delivery, and key CBA tools and methodologies, with an emphasis on the importance of capacity-building and awareness-raising activities throughout the project cycle. In addition, the guide addresses overarching and cross-cutting areas of development work, such as the approaches, challenges and solutions for community mobilization and participation, volunteerism, gender mainstreaming, social inclusion, policy influence and co-financing.

Separate chapters guide readers through key project stages, illustrating the necessary steps, discussing the underlying rationale and offering practical examples generated by the 63 SPA CBA pilot projects. It is the practical examples from these pilots that provide the foundation for the presented material, from information on how project staff approached challenges and resolved problems to stakeholder feedback that exemplifies how different local cultures and traditions influence and strengthen CBA projects.

Recommendations intend to draw awareness to potential blind spots and provide solutions for various project design, planning, implementation and monitoring challenges. The guide also endeavours to conceptualize future CBA programming, based on the emphasis shifting towards landscape approaches that provide the most effective holistic way to address community needs and landscape functionality. Readers are encouraged to use the guide as a reference and customize it to appropriately cater to the needs and objectives of specific projects and priorities.

METHODOLOGY

This guide is the result of rigorous analysis, beginning with first-hand material that includes the GEF Council documentation that recommended the CBA initiative, project proposals and official reports from the 10 pilot countries. In addition to primary documentation, the guide relies on information provided by the full range of stakeholders—national coordinators and members of steering committees, volunteers, project staff and consultants working in Bangladesh, Jamaica, Kazakhstan, Morocco, Namibia, Niger and Samoa—through interviews and questionnaires.

Such research used a structured approach and captured information on day-to-day implementation activities and management issues that focused on the processes used in getting to the project outcomes. For example, questionnaires included an activity time-log for each project, helping establish a baseline for the duration and level of effort required for different activities. In contrast, there were also many open-ended questions, designed to examine unanticipated issues and challenges and to explore project stages and areas where communities and implementing organizations needed the most assistance. The overall focus of interviews, questionnaires and other information-gathering tools was to distil lessons learned and best practices that can be used to advise current and future CBA practitioners working in different ecological areas.

The diversity of adaptation activities, lessons and practices that emerged from the 63 CBA pilots, which spanned four continents with varied geographic characteristics, provided constructive policy and development lessons to inform future CBA work.

Women plant newly identified salinity-resistant rice species to combat the saltwater intrusion caused by rising sea levels.



GUIDE STRUCTURE

The guide has six chapters, each of which focuses on a key stage of or issue critical to a CBA initiative. Chapter 1 discusses design of the overarching programme and multi-stakeholder monitoring and evaluation at the global, national and local levels. Chapter 2 focuses on the country-level CBA mechanism and framework, including conducting stakeholder consultations, identifying experts, preparing a CBA country programme strategy, identifying target regions, establishing a national advisory board and assembling a country project team.

The programme development phase begins with Chapter 3, which explores conceptualizing projects, while Chapter 4 focuses on project proposal preparation and project implementation, including monitoring and evaluation, outreach activities and policy influence. Chapter 5 discusses community participation and volunteerism, community mobilization and the Vulnerability Reduction Assessment methodology, including how such assessments were conducted in pilot countries and the related implementation challenges. Chapter 6 discusses CBA financing and policy advocacy, including prerequisites for co-financing, in order to facilitate policy advocacy and capitalize on the opportunities to attract new financing and support to CBA projects.

Field assessment of soil types and native seeds precedes the formulation of community agrobiodiversity plan to combat climactic variability and droughts.



CHAPTER 1

PROGRAMME DESIGN AND FRAMEWORK DEVELOPMENT

1.1 ESTABLISHING OVERARCHING PROGRAMME MANAGEMENT

The first step of a CBA programme or project is assembling an overarching programme management unit (PMU), which may exist at a subnational, national or even the global level. At the outset of work, the primary PMU responsibility is establishing the foundation of the CBA programme or project by developing the overall programme design and framework that lays out the fundamental objectives, strategies, approaches and processes. The unit continues to spearhead CBA work throughout the project cycle, with varying responsibilities at different stages (see Figure 1).

Figure 1

Project Management Unit Responsibilities

The primary responsibility of the project management unit is to develop the overarching programme design and framework at the outset of work.


CBA programme design and framework development

- Develop the framework capturing the CBA programme's objective, strategies, approaches and processes.

 *Section 1.2: Developing Programme Design and Framework*

CBA country programme strategy development

- Provide technical support for country programmes during the CBA country programme strategy development phase.

 *Chapter 2: Setting up a CBA Mechanism*

- Provide technical support to country programmes.
- Review draft strategy to ensure consistency with donor guidelines prior to their adoption.

Portfolio development

- Oversee the strategic development of CBA projects in relevant locations.
- Monitor the concepts and projects being approved by the national steering committee for fit with overarching CBA criteria.
- Provide technical assistance to CBA project teams as needed.

1.2 DEVELOPING PROGRAMME DESIGN AND FRAMEWORK

Guide 1 details the steps in developing an overarching programme design and framework. Examples provided include those from the SPA CBA project, whose PMU existed at the global level, while projects were implemented at the national and local levels.

To give practitioners an overview of stakeholder types and their roles, Guide 2 presents examples of local, national and global stakeholders from the SPA CBA project experience. Note that the list of examples provided is non-exclusive and is intended to provide a practical starting point for a contextual stakeholder mapping exercise.

Monitoring and evaluation

- Monitor progress of the CBA programme in meeting monitoring and evaluation requirements, providing technical assistance where necessary.
- Carry out programme-level monitoring and reporting activities, including reporting to donors and/or project partners.

Knowledge sharing and advocacy


- Develop and disseminate knowledge products (e.g. papers, briefs) highlighting successful case studies and lessons learned from the CBA programme. It may be beneficial for PMU publications to target global audiences, while CBA project teams target materials to national audiences.
- Facilitate South-South and triangular cooperation through cross-country knowledge transfer.

Operations

- Liaise with implementing partner to disburse funds for CBA activities and maintain budgetary oversight.
- Identify and liaise with potential and actual co-financing agencies and institutions.
- Monitor the overall implementation and outputs of the CBA programme.

Recruitment


- Engage, hire and supervise CBA project teams, including project partners and consultants.

 [Section 2.2: Setting Up CBA Project and Support Teams](#)

Guide 1

Steps in developing an overarching programme design and framework


1 Perform a stakeholder analysis and establish stakeholder groups engaged at the national and subnational levels for programme management and implementation. If the project is to be anchored at the global level, stakeholder analysis and stakeholder engagement should include global officials. Stakeholder groups may include national, subnational or district-level bodies that have an interest in and influence over the programme, project or initiative. The people affected by the challenges that the programme seeks to address qualify to be stakeholders at the global level. It is essential to engage community representatives from the geographic area, including residents of project sites and residents of nearby areas that are impacted by the same climate change challenges. For example, a project site may be located in the upper basin of a mountain where maladaptive deforestation activities are causing landslides that threaten the lives and ecosystems of the residents of the same mountain's middle and lower basins. In such circumstances, community representatives from the middle and lower basin areas are important stakeholder groups.

 *In the SPA CBA project, national and subnational stakeholder groups included SGP National Coordinators and UNDP Environmental focal points. Since the project was established at the global level, UNDP Technical Advisers and the SGP Central Programme Management Team led programme design and framework development. Additionally, an advisory panel—which included representatives from the governments of France, Germany, Switzerland and the United States of America, the UNDP Project Appraisal Committee and the GEF Secretariat—reviewed the draft programme design, and the final global project document captured the panel's feedback.*

 *Guide 2 outlines examples of key stakeholder groups at various levels and their roles in a CBA project.*

2 Develop the CBA programme framework that clearly articulates core project aspects, including:

- Rationale and policy conformity
- Goal, objective, outcomes/results and outputs/activities
- Risks, indicators and assumptions
- Expected benefits (global, national and/or local)
- Country ownership
- Sustainability strategies
- Replication strategies
- Institutional and management arrangements
- Implementation arrangements
- Monitoring and evaluation system
- Production and dissemination of knowledge products and information on results

 *In the SPA CBA project, the the programme design, monitoring and evaluation systems relied heavily on processes and intellectual frameworks developed for climate risk identification and capacity-building under the United Nations Framework Convention on Climate Change (UNFCCC). Unlike other projects that promote adaptation to climate risks, UNFCCC processes have yielded rigorously tested frameworks for project conceptualization, guidelines for project development, and indicators to assess adaptation projects.*

3 Hold inception workshops. Inception workshops serve to harmonize, discuss and validate the programme design document and agree on stakeholder responsibilities. The workshop should also address programme or project delivery strategies and training in methodologies. Amendments to programme or project documents should occur in inception workshops, before recruiting CBA project teams.

Guide 2

Selection of key CBA project stakeholder groups at global, national and local levels

	Examples from SPA CBA project	
	Stakeholder roles	Stakeholder examples
GLOBAL		
NATIONAL		
LOCAL		
Stakeholder types		
Community members CBOs and NGOs Local government bodies Local trade associations Other local actors and influencers National project coordinator	Local vulnerability and adaptation assessment Project identification and proposal development Baseline development Implementation of CBA activities Monitoring and evaluation	Community members CBO and NGO representatives Local government representatives Local trade association representatives Others
Coordinating committee Government agencies and line ministries Donors and co-financiers Climate change experts CSOs Other development partners	Capacity development CBA proposal identification and approval Baseline development Support and outreach to local project participants Participation in project selection Participation in funding disbursement and management Monitoring and evaluation	National project staff (e.g. UNDP project coordinators, programme assistant) National steering committee or national coordinating committee Government focal point Donor focal points National climate change focal points NGO representatives Other development partners
Task manager Climate change experts Project management officials Cooperating institutions and their national and/or local focal points at project implementation countries and/or sites	Global guidance Project management Execution of funds Monitoring and evaluation support Baseline development support Technical support, including quality control over project selection Institutional support Lesson distillation and documentation	UNDP Task Manager SGP Climate Change focal point CBA Project Management Unit (including Project Manager and Programme Associate) Staff of the United Nations Office for Project Services, the executing agency partner for operations Headquarter focal point of the United Nations Volunteers, the implementing project partner

In Bolivia, tarwi seeds were used as natural insecticides to increase agricultural yields and provide food and medicinal supplements to the Carabuco community.



CHAPTER 2

SETTING UP A CBA MECHANISM

Once the design and framework of a CBA programme or project are complete and there is an overarching PMU, CBA project teams and national coordinating committees can be recruited and established. This chapter covers the set-up of a CBA mechanism. Guide 3 illustrates the main steps used in the SPA CBA project; such steps can be replicated in similar community settings. Subsequent sections of Chapter 2 offer additional information on each step and provide recommendations and examples from the SPA CBA project experience.

2.1 PLACING CBA UNITS WITHIN NATIONAL LEGAL AND INSTITUTIONAL FRAMEWORKS

One of the essential steps of devising an overarching programme framework is identifying the most appropriate institutional and management arrangements (see Chapter 1, Guide 1, Step 2). It is important to respect the existing legal, regulatory and institutional policies and frameworks, noting that these may differ not only among countries but often also among the various ministries and agencies of the same government. Operating within existing institutional policies will streamline the process of anchoring or housing the project and its staff, whereas not having a full picture of such policies will lead to unexpected delays in starting the project, some of which could be as long as a year or more.

Guide 4 lists the steps in placing the CBA unit within the appropriate national legal and institutional frameworks, and the underlying rationale for each step, along with examples.

The GEF Small Grants Programme served as the delivery mechanism in nine of the 10 pilot SPA CBA project countries. CBA projects used the SGP framework of




project implementation, including its infrastructure, and followed, with some adjustments, the SGP project operational guidelines.

In Bangladesh, where there was no GEF SGP presence, the CBA project was implemented through the UNDP country office, which already supported several related initiatives—including the Comprehensive Disaster Management Programme (CDMP) of the Ministry of Food and Disaster Management. In addition, GEF funding required CBA Bangladesh to use CDMP financial mechanism, the Local Disaster Risk Reduction Fund, for grant disbursements and financial management. Such

Guide 4

Placing CBA unit within appropriate national legal and institutional frameworks


1 Identify the legal and institutional policies that support the project's delivery mechanism in the country. It is vital to know and follow the appropriate legal, regulatory and institutional frameworks. The policies in a country may differ from one ministry to another with regard to legal and institutional mandates. If the programme is donor-supported, the legal requirements should be spelled out in the donor agreement or project document.

 *Government and its status in ratifying international conventions through convention offices; existing programmes, such as the GEF Small Grants Programme; and decentralized UN systems, such as UNDP country offices*

2 Identify the main partners and stakeholders. Leading national climate change institutions and adaptation specialists can contribute at an early stage to ensure alignment with the country's climate change policies and priority intervention areas.

 *Each organization's focal points who are linked or are directly involved in CBA and other climate change initiatives*

3 Link to other initiatives of similar nature at the country level. Such linkages can facilitate knowledge exchange with other experts and yield project implementation support services such as field monitoring, national or local policy assessment and advocacy. Linking to existing, often larger programmes can also eliminate the need to reinvent the proverbial wheel by preparing and implementing projects anew instead of adapting similar existing frameworks to the community level. Finally, it is important to link new CBA programming with similar activities funded by other local development actors, and to harmonize such efforts to the extent practical.

 *UNDP climate change adaptation programmes, such as UNDP-executed full-size GEF programmes that can provide effective leverages for CBA projects; other UN system programmes; other development partners programmes, such as multilateral, bilateral or national climate change adaptation initiatives*

synergies led to the initial intent to implement CBA Bangladesh under CDMP; however, this arrangement conflicted with Bangladesh’s law governing the allocation of foreign funds for environmental projects.

Pursuant to lengthy discussions in tripartite inter-ministerial meetings, CBA Bangladesh was placed—and ultimately implemented from an operational stand point—under the UNDP-supported Community-Based Adaptation through Coastal Afforestation project of the Ministry of Environment and Forests. CBA Bangladesh funding remained channelled through the CDMP financial mechanism. Another important initial CBA Bangladesh contextual placement decision was to continue the use of CDMP-established implementation modalities with appropriate amendments.

The entire administrative ‘placing’ process took nearly a year, leading to delays in project implementation.

Example 1

Benefits of programming with linked UN agencies and government ministries: CBA Bangladesh

Setting up the CBA implementation mechanisms within the Bangladesh Ministry of Environment and Forests provided the opportunity for knowledge exchange between government officials and the CBA Bangladesh National Coordinator, who was stationed at the UNDP country office. In addition to following the processes detailed in the CBA project document, the National Coordinator was required to assist government officials in raising awareness of climate change issues and building local capacity to address them. CBA Bangladesh was also programmatically tied to the country’s full-size UNDP-GEF climate change programme, which offered field monitoring services and leveraged national and local policy advocacy.

Example 2

Legal and institutional frameworks for CBA Bangladesh

When a CBA country unit is created outside the GEF SGP framework, it is important to be aware of the legal and institutional entry points. It is vital to identify the legal custodian for the UNDP-GEF CBA initiative. Working with the institutions that are the established legal focal points for climate change and international agreements from the start expedites the process and saves valuable time and effort in grounding CBA activities in a country.

Mr. Mohammed Abu Sumon, National Coordinator, CBA Bangladesh

2.2 SETTING UP CBA PROJECT AND SUPPORT TEAMS

After having properly institutionalized a national CBA programme, it is time to recruit staff and establish the CBA project team. Typically, a national coordinator—working with an assistant where applicable—serves as the primary focal point to manage and implement individual CBA projects or activities in the national portfolio. The roles and responsibilities of CBA project teams are detailed in Figure 2.

Figure 2

CBA project team responsibilities


CBA country teams lead

- Country-level portfolio development
- Community-level project development and implementation
- Capacity development
- Monitoring and evaluation activities
- Identification and distribution of lessons learned and best practices

and co-manage with the national steering committee

- Establishing and managing national, subnational and local stakeholder support groups with various expertise
- Project proposal development, including establishing baseline indicators
- Support and outreach to local project participants
- Project selection
- Funding disbursement and management
- Community mobilization and volunteerism efforts

 Section 2.3 provides detailed information on national steering committees

 National coordinators conduct outreach to selected community-based, non-governmental and volunteer organizations to engage them in capacity-building activities. Following training, these local groups work with communities to develop local vulnerability assessments and CBA project proposals. To the extent possible, these training activities should be coordinated with ongoing consultations and capacity-building efforts. Linkages are made with national adaptation activities carried out by other in-country GEF implementing agencies.

 See Examples 3 and 4.

A national coordinator serves as the primary focal point to manage and implement individual CBA projects or activities in the national portfolio.

2.2.1 EXAMPLES FROM THE SPA CBA PROJECT: HUMAN RESOURCES AND ACCESS TO EXPERTISE

Example 3

Core CBA team and national support groups in Small Grants Programme countries

For UNDP- and SGP-executed CBA projects, CBA teams consisted of the SGP national coordinator as the lead, a national or international UN Volunteer (where applicable) and a programme assistant—or another SGP or UNDP country office staff member—responsible for daily financial and administrative issues. CBA pilots also successfully leveraged the human resources of local partners such as the US Peace Corps. Due to the programmatic link between SPA CBA projects and other ongoing medium- to full-sized GEF adaptation projects, some CBA pilots were supported by the larger GEF projects in implementation and monitoring activities.

Example 4

Core CBA team and national support groups in countries without Small Grants Programme presence

In some cases, the national UNDP climate change unit provided technical support to the CBA pilots, particularly in cases outside the SGP framework. In Bangladesh, the CBA team was housed within the Ministry of Environment and Forests. However, in administrative terms, the unit was part of the UNDP country office, which largely covered the unit's financial and administrative needs.

Example 5

Duties of UN Volunteers



**UN
Volunteers**

UN Volunteers played a vital role in SPA CBA project implementation, overseeing community mobilization and acting as the day-to-day national field coordinators in most pilots. It is important to note that actual capacity-building, awareness-raising and community mobilization needs of CBA projects proved to be much higher than anticipated during the project design stage. UN Volunteers played multiple roles and were not always able to spend enough time visiting field projects. In addition, the volunteer recruitment process took longer than expected, often resulting in project implementation delays. It is therefore important to plan for adequate human and related resources, as well as for replication and scaling up.

Example 6

Use of existing expertise by new CBA teams

In many CBA countries, UNDP country office staff had expertise that supported the national steering committee in developing the CBA country programme strategy during the project set-up, planning and implementation phases. For example, UNDP Environment and Energy units provided technical expertise, while some in-country communications units supported national and subnational CBA policy advocacy. Often, UNDP country offices recommended specific experts as members of national steering committees. Furthermore, GEF required its existing full-size adaptation projects to provide support to SGP CBA national coordinators and project teams whenever possible. In several countries, these larger GEF projects helped monitor CBA pilots' field implementation, alleviating the pressure on core CBA staff.

Example 7

CBA and social expertise

Include sociologists and anthropologists with strong gender backgrounds, poverty specialists and policy advocacy experts. Professional community mobilization specialists with local expertise are often essential for successful CBA projects. 

SPA CBA practitioners in Bangladesh, Jamaica, Kazakhstan, Morocco, Namibia, Niger and Samoa

Example 8

Broad pool of interrelated on-the-ground expertise

Most CBA project countries added climate change experts to existing Small Grants Programme national steering committees, which already comprised each country's environmental and sustainable development specialists. Broadening the pool of experts both vertically and laterally within organizations and teams has been important given the complex and interrelated nature of CBA projects, where sustainable development and poverty alleviation are central ingredients. In addition, CBA projects have proven to require a higher community mobilization effort than an average SGP project; CBA pilots' teams found it important to assess each potential steering committee member's availability to not only participate in scheduled committee activities, but to also be accessible for additional, possibly project site-based, consultation on short notice.

Community-based projects benefit from, if not necessitate, collaboration with partners, who can cover gaps in expertise, human resource and services, maximizing project potential. SPA CBA project staff's experience has included key partnerships with experts and agencies in the fields of government, environmental management, social sciences and volunteerism (see Figure 3).

Yet, despite the wide-ranging consensus on the importance of climate change adaptation and the continuously growing global awareness, CBA practitioners pointed out the need to strengthen and increase national and international support networks. One of the most important lessons from the CBA pilots' implementation phase was the need for scientific support.

Local climate risks, most of which are sourced directly from the affected communities, need to be validated by and, where possible, incorporated into national and regional climate change projections. In addition, most CBA pilots' teams have emphasized the need for local experience and additional sociological, anthropological, policy advocacy and community mobilization expertise, and some practitioners felt supplementary expertise was also needed in the core areas of sustainable development, gender and poverty alleviation (see Examples 7–8).

2.2.2 TIPS FOR SETTING UP CBA PROJECT TEAMS

- **Allow sufficient time for recruiting teams and mobilizing partners**, as each organization has its own rules and processes to follow. Attention to planning can help ensure project continuity by identifying possible gaps in human resources and potential solutions.
- **Consider the rules and requirements of the project delivery infrastructure to harmonize job functions at each partner organization.** For example, each organization has distinct information technology procedures governing essential project-related functions, such as database access restrictions that often apply to external staff for security reasons. Prior awareness would enable project teams to delegate responsibilities and to ensure that each person has the tools to do his or her job.
- **Recognize the capacities of CBA project teams and provide strong support, particularly during early project phases.** When the foundation is strong, monitoring and troubleshooting throughout the project cycle is easier. See Example 9 for details of a good team capacity-building process.
- **Acknowledge and address challenges from national or local stakeholders.** Scientific accuracy was a chief concern for most national CBA pilot units, as it was sometimes impossible to trace local climatic incidents to climate change. Therefore, SPA CBA projects also targeted climate variability where

Figure 3

Project partner groups, roles and examples




Government ministries provide updated policy linkages and status.

 *Ministries with environment mandates*

Environmental experts provide ecological expertise.

 *See Examples 6 and 8.*

Social experts address community behavioural change and motivation (climate science without community mobilization offers only ecological/environmental impacts).

 *Sociologists, anthropologists, poverty specialists*


 *See Example 7.*

Volunteerism experts enhance the project objectives through community mobilization and volunteerism efforts.

 *United Nations Volunteers, US Peace Corps*

 *See Example 5.*

Development actors managing related national projects support in monitoring and evaluation and in building links and maximizing synergies with national actors, such as governments.

 *Other GEF projects: Due to the programmatic links between the SPA CBA project and other medium-to full-sized GEF adaptation projects, some CBA pilots were supported by the larger GEF projects in implementation and monitoring activities.*

 *See Examples 4 and 6.*

it creates vulnerabilities for local communities. For example, climate change experts of one country's national steering committee expressed opposition to community monitoring of CBA projects, perceiving the vulnerability reduction assessment-based community monitoring methodology to be scientifically inaccurate and demanding that SPA CBA project monitoring be carried out by practitioners with climate change expertise. National coordinators frequently had to explain the CBA concept and modality to the climate change and adaptation specialists who agreed to join the national steering committee but were largely new to community-based adaptation and needed orientation. Even with increased national and local awareness of CBA, pilots highlighted the need for stronger and more specifically CBA-oriented support by national experts and stakeholders, particularly support that fosters community inclusion and ownership.

Example 9

Headquarter capacity-building support for CBA project teams

National SPA CBA pilot teams consulted the New York-based SPA CBA Programme Management Unit on technical and administrative matters as often as daily and weekly at the start of the programme. National teams found this support essential to establishing national CBA initiatives. Such consultations slowly tapered off as capacities of national units grew. Between 2009 and 2012, team members in all pilot countries saw a marked rise in climate change and adaptation awareness in their national and local contexts, alongside a continuously growing belief in the necessity of adapting to climate change at the community level. This enabling environment facilitated project preparations and implementation processes.

2.3 DEVELOPING A POLICY UNIT FOR CBA PROGRAMME

After properly institutionalizing CBA at the national level and establishing project teams for community-level work, a CBA programme needs to establish a nationally constituted multidisciplinary governing body: the national steering committee (note that in SPA CBA pilot countries, national steering committees have been referred to by various titles, such as 'national coordinating committee' or 'national focal group' in subregional SGP programmes). The purpose of a national steering committee is three-fold: 1) to review and approve project proposals; 2) to mainstream CBA policy processes within national organs; and 3) to advise on programme delivery processes.

Organizationally, the committee is a multi-stakeholder body of technical experts spanning the fields of environment, policy, youth engagement, gender, climate change adaptation, agro-metrology, civic education and other development

Figure 4

National steering committee member roles and responsibilities

Committee members

include national experts in the project intervention area. For example, if the intervention area is the Clean Development Mechanism, the committee will need experts in carbon footprint measurement, quantifying reduced carbon emissions and greenhouse gas audits. Forestry projects may call for genetic experts, while soil conservation will require soil expertise.

 The SPA CBA project experience highlights the need to include climate change, environmental and sociology experts, because CBA projects cut across many social and environmental issues.

 See Example 8.

ROLES

Provide strategic direction and technical guidance for the CBA decision-making processes, including project approval, and establish a comprehensive framework for project development at the local level.

It is also important that this group examines how all CBA projects within its purview are positioned to contribute to each other at the landscape level, so that a suite of projects can enjoy economies of scale. The project development framework should include national strategies linked to the project intervention area and should address related regional and sectoral issues.

Collaborate with and support CBA project teams and other national stakeholders on:

- Developing a CBA country programme strategy
- Developing, approving and funding individual CBA projects
- Ensuring that projects are aligned with national priorities, specifically considering adaptation priorities
- Developing local-level capacities of NGOs and community-based organizations in designing and implementing CBA projects

RESPONSIBILITIES

Work closely with CBA project teams in:

- Building community member capacity to understand and respond to adaptation issues
- Developing baselines for monitoring and evaluation
- Setting adaptation priorities with community members
- Supporting project proposal design and implementation of community adaptation activities
- Sustaining the process of adaptation at the community level
- Monitoring and evaluating the implementation process and project outcomes
- Supporting resource mobilization
- Mainstreaming CBA project successes and best practices into national development planning and policymaking


disciplines closely related to CBA or the local social, economic or political contexts. Committee members also represent the government, academia, civil society organizations, multilateral development actors (such as the United Nations and its agencies) and the private sector, as is contextually appropriate. The technical capacity and field of expertise of individual committee members are important criteria in determining committee composition; available expertise should correlate to project objectives and be broadened to encompass skills that may be relevant or required on an ad hoc basis. Figure 4 provides examples of national

Guide 5


Using existing delivery structures for CBA projects

1 Review available expertise in light of the primary project objective and relevant sectoral issues to ensure the advisory body is aligned with CBA project goals and needs, and to identify expertise gaps.

 See Example 10

 Most CBA projects have policy influence objectives. Existing national committees often offer access to experts that are already established actors in national policy advocacy and debate and can thus help facilitate desired CBA project outcomes. CBA projects also target the most vulnerable, marginalized and minority groups. National steering committee members need to have local knowledge of rural areas, or additional experts with such knowledge should be sought as the next step of committee member vetting for CBA. This is critical particularly because developing the CBA country programme strategy and project approval, performed with transparency by the national steering committee, require information that may not be available at the national level.

2 Expand committee personnel to include additional skills to fill expertise gaps identified by cross-referencing available expertise with CBA programme needs.

 Based on specific local needs, SPA CBA pilot projects added adaptation, gender, sustainable development and policy advocacy specialists to existing national structures.

steering committee members by project intervention area and an overview of their roles and responsibilities.

The national steering committee's main role is to provide conceptual and strategic project guidance on technical, political and financial matters, and to contribute to strategies in project sustainability and resource mobilization. The committee's contribution begins with leading the development of a CBA Country Programme Strategy, as detailed in Section 2.4.

2.3.1 PIGGY-BACKING ON EXISTING NATIONAL STEERING COMMITTEES

If a CBA programme or project is to be implemented in a country that already has a similar development assistance delivery mechanism, a new national steering committee is not necessarily needed. It is prudent and cost-effective to use existing structures to deliver new CBA projects. For example, a national committee that exists in all Small Grants Programme countries can effectively deliver a CBA programme by expanding its expert pool. See Guide 5 for steps, rationale and examples when 'piggy-backing' on an existing structure.

Example 10

Reviewing and expanding expertise of existing national committees

After identifying an appropriate existing national structure, national coordinators of SGP CBA pilots ensured that such bodies possessed expertise in adaptation to climate change, including variability, and modified it with additional personnel where necessary. The 10 pilot countries benefited from bringing in specialists on sustainable development, gender and policy advocacy, as well as additional adaptation experts in select cases. Practitioners found that a strong and diverse steering committee or expert group produces strong CBA project support, thereby facilitating implementation and problem-solving down the road.

2.4 DEVELOPING CBA COUNTRY PROGRAMME STRATEGY

Each new CBA programme should work with local representatives to develop a CBA country programme strategy that details intervention areas and sectoral approaches, linking CBA with the needs and gaps identified in key national planning instruments to address climate change impacts (e.g. National Adaptation Programmes of Action). Designing a CBA country programme strategy involves consulting with stakeholders, clarifying objectives, developing a programme infrastructure, forming a country programme team and reviewing existing information on vulnerability and adaptation. Experience from the SPA CBA pilots demonstrates that preparing such country strategies can be flexible, depending on the geographic scope and the area of the landscape being addressed. However, in all cases, it is important to properly define project boundaries while conceptualizing projects, formulating implementation strategies and establishing indicator sets to will be used to gauge success (see Guide 6).

Developing a comprehensive CBA country programme strategy is critically important, as it provides the scope and foundation for the CBA portfolio at the national and local levels. This is a lengthy and consultative process that must be planned accordingly in order to bring all relevant stakeholders into a common understanding and agreement. Prior to the actual development of the CBA country programme strategy, the CBA team must take steps including:

- **Plan the consultation process appropriately** in both the CBA project work plan and at landscape level, engaging all relevant stakeholders and conducting the necessary number of activities at the CBA project site and elsewhere as appropriate;
- **Perform a stakeholder analysis** at the landscape and national levels;
- **Analyse existing national climate change adaptation plans, strategies and projects**, focusing on bringing existing information into use (see Guide 6);

Guide 6

Steps in developing a CBA country programme strategy – countries with existing national adaptation strategies

1 Plan the CBA country programme strategy consultation process appropriately in the project work plan, as this is a commonly lengthy process that gathers and integrates various stakeholders' feedback and opinions. It is important to invest in a wide-ranging consultation process, because it sets the baseline for partnerships and for CBA project design and implementation. Consideration of time investment should be included in the framework to ensure programmatic comprehensiveness.

In some CBA pilot projects, it took close to six months to finalize the CBA country programme strategy. Drafting of the document itself took an average of two to three weeks, but the peer inputs and reviews were often lengthy.

2 Perform a stakeholder analysis at the national level. Consult with the national steering committee, which may offer recommendations of experts in the field, as most of them are nationally recognized specialists. Stakeholder analysis and consultation ensure that the strategy is comprehensive and captures national and local inputs into the strategy development process. It is also advisable to include UNFCCC focal points.

CBA pilots used a wide pool of experts, including climate change and environmental specialists such as GEF focal points, UNDP environmental focal points, UNFCCC focal points, academics and government officials. NGOs, community-based and other grassroots organizations were also included in consultations.

2a. Include relevant policy and decision makers from targeted sectors and intervention areas in the strategy formulation stage. Working directly with the funding organization helps develop synergies, allows new projects to attain economies of scale and can also offer possibilities for collaboration, co-financing, scaling up and ease of monitoring.

Inclusion of policy and decision-makers in the country programme strategy formulation of CBA pilot projects ensured that strategies for policy advocacy and influence were clearly articulated in individual national strategies.

2b. CBA projects funded by in-country donors should ensure inclusion of donor representative during the formulation stage. Develop synergies and ongoing plans for the same donors so that the new project can gain from economies of scale. This can also provide possibilities for collaboration, co-financing, scaling up and ease of monitoring.

CBA pilot projects ensured that country and regional UN-system offices and those of other development partners were offered a chance to contribute as key partners in influencing national policy discourse.

3 Perform an analysis of existing national climate change adaptation plans and similar projects. The CBA country programme strategy should cover identified gaps while not duplicating other national climate change adaptation plans or initiatives. Analysing existing projects could reveal synergies to enhance project outputs.


The CBA pilots' country programme strategies defined the institutional and policy contexts in which appropriate adaptation measures were implemented. Identified capacity and policy gaps were addressed, enhancing adaptive capacities.

4 Develop the CBA country programme strategy in line with the national strategies identified in step 3 and overall CBA objectives. The resulting CBA country programme strategy should guide the design, implementation and analysis of projects in the national CBA portfolio.

 See Chapter 1 for details on developing the CBA programme framework.


 See Steps 4a–4h for guidance on how to address the design, implementation and analysis of a national CBA portfolio.

CBA country programme strategy templates need to be developed by the project management unit. The national coordinator or project manager, with the approval and support of the national steering committee, bears the responsibility for developing the CBA country programme strategy. Integrating existing national adaptation strategies into CBA programming increases the leverage for CBA options or locally implemented projects. Project templates provide a common structure for all CBA country programmes, encouraging a sharp focus on donor requirements and the prioritization of specific adaptation initiatives to ensure portfolio-wide coherence.

 *In the SPA CBA pilots, national steering committees provided comprehensive technical and strategic advice, because their members included experts from various organizations, governments and academia. Most pilot CBA strategies followed the UNDP and host country programme priorities for mitigating and adapting to climate change. Each strategy was country-specific and country-driven, while processes were programme-wide. SPA CBA pilots used programme strategy templates developed by the global project management unit, which tailored Small Grants Programme templates to adaptation initiatives. These full project proposal templates were used in all 10 pilot countries and remain available online, along with other related project templates.*

 For SPA CBA project templates, see undp-alm.org/projects/spa-community-based-adaptation-project


4a. Identify the goal and the impact indicators for measuring how objectives are contributing to the overall goal.

 *The objective of the Bangladesh CBA country programme strategy was to develop “institutional capacity to manage natural resources sustainably in the face of climate change”. The achievement of this objective was measured by two impact indicators: 1) rate of loss of natural resource base for livelihoods determined to be negatively impacted by climate change; and 2) creation of other livelihoods options better suited to reduce impacts of climate change on target communities.*

4b. Identify the sectoral focus and concentrate key objectives on addressing the sectors.

 *In the CBA programme, the sectoral focus of most projects was on water, land management and agriculture.*


4c. Identify the vulnerability and capacity needs of the targeted sectors.

 *The CBA programme used the vulnerability reduction assessment tool to plan and monitor identified interventions.*




4d. Identify baseline-additionality reasoning. Ensure that the new projects are going over and above existing landscape, sectoral or national activities and plans, so that CBA activities are additive and rooted in climate change risks.

4e. Identify focal areas.


 *Most CBA pilot projects built resilience to climate change into the land degradation and biodiversity focal areas. Other relevant focal areas were seldom addressed.*


4f. Identify local priorities to guide project selection.

Activities have to suit and address local needs and site requirements.

 *In CBA Bangladesh, interventions focused on the needs of women, the poor, fisherman, and landless or land-poor farmers. In CBA Kazakhstan, interventions focused on farmer groups and associations experiencing food insecurity due to climate change.*

4g. Identify geographic areas of CBA focus and how these align with sector-specific vulnerability. Cross-referencing geographic and sectoral information ensures that the CBA country programme strategy appropriately documents the short- and long-term climate change impacts on priority sites, and that the planned adaptation measures comprehensively address the issues of the target area and its people.

 *The programme strategies of SPA CBA pilots analysed factors including: 1) historical and predicted patterns of community-level vulnerability to climate change, including variability; 2) priority sites; and 3) adaptation measures for project implementation. The pilots' CBA country programme strategies also outlined how the intervention areas and sectoral focus areas linked to the GEF-identified global environmental benefits, a primary concern of the CBA pilot programme's funding agency. In all national SPA CBA pilots, the target regions defined by the CBA country programme strategy were strictly followed during the planning and implementation stages.*

 *See Chapter 4 for a discussion of global environmental benefits.*

4h. Select final project areas through consultation with a wide range of climate change, environmental and socio-economic experts. Experts can help identify the areas where communities are most in need of CBA solutions to climate change-induced problems. Synergistic partner organizations' interventions may further leverage or contribute to new CBA projects.

 *CBA pilots' teams found it vital to select geographic project areas through wide-ranging consultations. Potential project areas were evaluated against a list of previously identified and prioritized areas for project implementation. Such collaboration and continuity ensured targeting the most vulnerable communities living in areas most negatively impacted by climate change.*



5 Obtain national steering committee approval of the CBA country programme strategy before disseminating among all stakeholders. A broad stakeholder consensus on the identified actions is essential.

- **In the absence of national adaptation strategies, facilitate national stakeholder consultations, along with the national steering committee, to assess national or regional climate change plans and strategies** that can guide and augment the CBA portfolio (see Guide 7).

Before formulating a CBA country programme strategy, the project designer should review all relevant literature, earlier planning documents and vulnerability assessments carried out by the government or other actors at the national or targeted landscape level. It is also crucial to seek information from civil society and community-level stakeholders. This desk review of documents should provide information on the categorization of the broad areas CBA projects are expected to address and the key vulnerability categories that may need to be addressed, all of which should be very clearly elaborated in the CBA country programme strategy.

Similarly, the strategy should detail the operations of the national steering committee and which key activities are to be undertaken on the basis of identified climate change risks and their impacts on communities and ecosystems.

Guide 7


Steps in developing a CBA country programme strategy – countries without existing national adaptation strategies



- 1 Facilitate national consultations to set CBA priorities and interventions in agreement with the main local stakeholders and experts.** In the absence of overarching national policy, time should be invested in looking at key vulnerabilities among the identified landscapes and sites.

 Under SPA CBA projects, this information was available and was fully incorporated into global programme design.

- 1a. Review regional or national climate change adaptation plans from the same region or context to distil relevant guidance, lessons and practices.** South-South knowledge sharing, alongside a review of available information and literature from similar environmental and socio-economic contexts can help identify relevant strategies.

 In Samoa, the CBA pilot used the Coastal Infrastructure Management (CIM) Plan to determine intervention areas. The CIM Plan is an official agreement between the Government of Samoa and the villages within the plan area.

 The CIM Plan is available at <http://www.mnre.gov.ws/projects/siam-2/documents/CIM%20Plans/AleipatalugalG-FE.pdf>



- 2 After having set the programmatic and geographic/landscape focus, follow Steps 1-5 in Guide 6.**

 Under SPA, greater attempts were made to delineate projects' geographic focus. In the few cases of small islands, the entire country served as the project focus.

Project typologies should follow these analyses to guide communities and other project proponents in responding to a call for proposals from the CBA management unit, which could exist at the landscape, subnational or national levels.

Guide 6 reviews the steps in developing a CBA country programme strategy for countries that have existing national adaptation strategies, such as the United Nations Framework Convention on Climate Change (UNFCCC) communiqué, national climate change and adaptation consultations, or a national adaptation programme of action (NAPA). Countries without such strategies need to complete several pre-steps, detailed in Guide 7, including setting the programmatic and geographic or landscape focus and consulting with national stakeholders.

2.4.1 EXAMPLES FROM THE SPA CBA PROJECT: ALIGNMENT OF CBA STRATEGY WITH NATIONAL PRIORITIES

Example 11

Course of CBA action for countries without clear adaptation strategies and plans

In some of the countries that first implemented SPA CBA projects in 2009, national coordinators had to convene several rounds of national consultations with climate change, environment and sustainable development experts to discuss the definition of CBA and related needs from the sectoral and geographic perspectives. At that early stage, the concept of community-based adaptation to climate change was new, and there were few, if any, national experts; therefore, an appropriate definition and modus operandi for each country had to be established.

These national consultations, though time- and energy-consuming, built a participating stakeholder consensus regarding the most pressing community adaptation needs, which helped project implementation and markedly influenced national policy. CBA Kazakhstan, the first CBA pilot that involved a country-wide consultation, assisted the local government in formulating a national CBA strategy some years later. As additional benefits, such broad consultation identified a number of potential experts who would later become members of national steering committees and paved the way for developing CBA country programme strategies.

Most of the SPA CBA vanguard pilots focused on building national and local capacities for climate change and CBA in particular. The need for intensive capacity-building at the national level has since decreased in parallel to the spread of awareness of community-based adaptation to climate change. The need for subnational capacity-building, especially at local levels, remains a priority for CBA projects.

Example 12


National and local CBA capacity-building provides foundation for countries without adaptation strategies

The SPA CBA pilot phase began field implementation in 2009, when many countries had neither much awareness nor knowledge of community-based adaptation. Therefore, a central role of early SPA CBA projects was to raise national awareness for CBA in the pilot countries. Now, climate change adaptation has been propelled to the forefront of national sustainable development discourse, making national awareness-building a lower priority for CBA projects. However, CBA initiatives continue to be under-prioritized at the local levels, according to SPA CBA national coordinator and volunteer interviews.



Example 13

SPA CBA national and centralized consultation processes

CBA Kazakhstan began without a national adaptation policy. After intense consultations with the New York-based Project Management Unit, the national coordinator decided to organize a series of national dialogues to develop an inclusive CBA country programme strategy. The dialogues united government stakeholders, NGOs and recognized experts in climate change, biodiversity, land degradation and agriculture in more than 10 meetings countrywide, facilitating consensus on the country's priority areas for CBA initiatives. Land degradation was chosen as Kazakhstan's priority sector. The draft CBA country programme strategy benefitted from input by national stakeholders, GEF focal points, the UNDP country office and select climate change academics. The peer-reviewed draft was then offered to the New York management unit for technical input and feedback, providing checks and balances in the whole process. 

Ms. Katerina Yushenko, National Coordinator, SPA CBA Kazakhstan

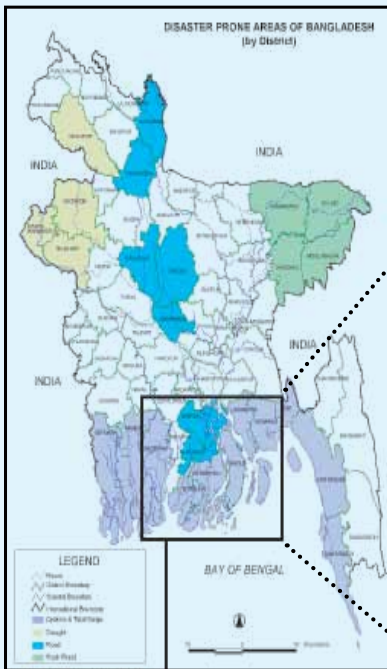
Example 14

Strategic alignment with national priorities: CBA Bangladesh

For Bangladesh, climate change adaptation is a national priority. The Bangladesh CBA country programme strategy offers an example of selecting a geographic intervention area using vulnerability information provided by a prior disaster risk reduction scoping process (see map). Without the work typically involved in identifying options and narrowing down the list of potential areas of intervention, Bangladesh CBA selected the Barisal-Patuakhali-Barguna coastal area—characterized as disaster-prone by risk reduction experts—for the SPA CBA pilot.

Additional information about pilot CBA country programme strategies, how these were derived and the targeted intervention areas is available at the SPA CBA website.⁷

Barisal-Patuakhali-Barguna Coastal Area, the Bangladesh CBA pilot region, within national disaster risk map



Map source: Bangladesh SPA/CBA project document, 2009

7 SPA CBA website: undp-alm.org/projects/spa-community-based-adaptation-project

In Kazakhstan, project implementers monitor performance of the drip irrigation system put in place to improve soil moisture amid wind erosion and increasing temperatures.



CHAPTER 3

CBA PROJECT CYCLE A: PROJECT CONCEPT PROCESS

3.1 INTRODUCTION TO CBA PROGRAMME DEVELOPMENT

Programme development commences once the CBA country programme strategy has been adopted and on-the-ground delivery arrangements are complete. An inception meeting of key stakeholders should revisit the CBA country programme strategy to review and once more validate previously agreed indicators, strategies and methodologies.

Initial activities, starting as early as the inception meeting, focus on capacity-building to address the target communities' identified needs. In cases where CBA is a new programme area for a country, prospective grantees will be unfamiliar with climate change adaptation and the indicator framework applied to CBA projects. CBA teams should devise national capacity-building activities to specifically target prospective grantees immediately after holding the CBA programme inception meeting.

In sum, country-level inception meetings have three purposes:

1. **To develop a common understanding of climate change, its likely impacts and adaptation.** Such capacity-building is likely to require technical assistance from project staff and other stakeholders;
2. **To build potential grantee capacities to develop successful project concepts and full proposals** based on the CBA country programme strategy framework. Proponents need to understand the requirements of CBA monitoring and evaluation systems, including specific methodologies; and
3. **To encourage grantees to network with one another, synergistically developing project concepts that achieve the overall objective of the CBA country programme strategy**—particularly important in cases of landscape approaches. Landscape-level and portfolio-wide indicators are also easier to discuss and agree on when considering the entire portfolio of national projects expected to be approved during implementation.

CBA projects mirror the Small Grants Programme project cycle that starts with the call for project concepts, followed by the grantee selection process, project concept development, concept approval, setting up of a planning grant and implementation of the planning phase. It is essential to account and plan for the time, effort and resources spent during the proposal and planning phase, which constitutes an important capacity-building exercise.

Just like during the CBA country programme strategy development, templates for project concepts and full project proposals are made available through capacity-building workshops held during project development stages. Working with

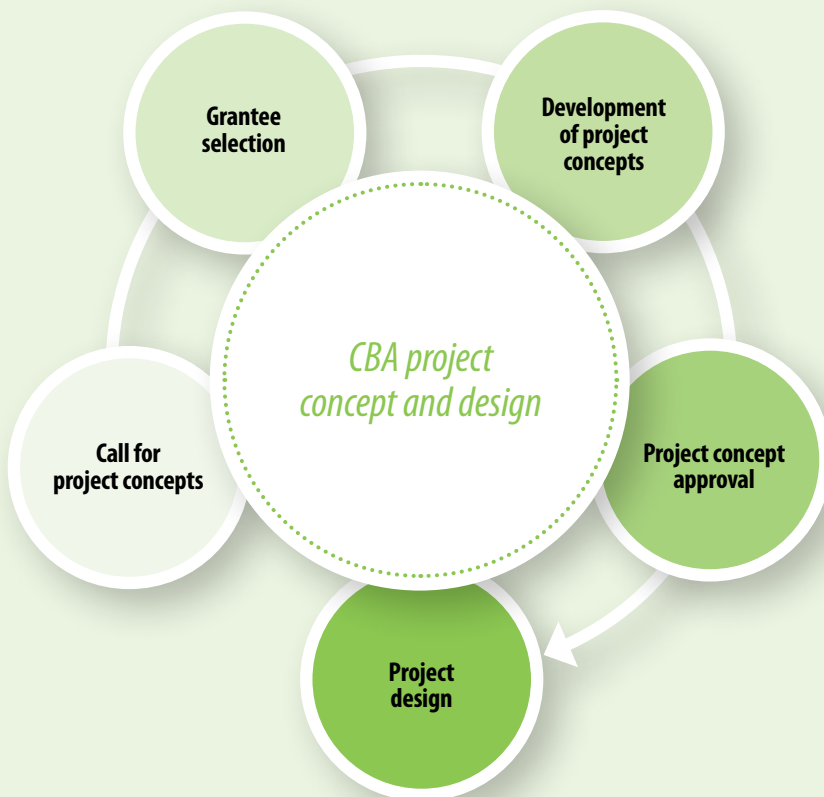
templates is required to streamline operational processes by establishing the structure of the CBA project portfolio, ensuring the completeness of provided eligibility information and facilitating potential project evaluation and approval processes of the national steering committee. Notably, existing templates of project execution modalities in the environment and sustainable development fields may be built upon and customized to cater to a given project's objectives.

As seen in Figure 5, this chapter explores developing project concepts and engaging prospective proponents. The processes, in chronological order, include:

- Call for CBA project concepts;
- Grantee (NGO/CBO) selection;
- Development of project concepts and capacity-building;
- Project concept approval; and
- Project design, which includes establishing baseline indicators, use of planning grants for full project proposal development and capacity-building

Figure 5

SPA CBA project cycle from call for concepts to project design




3.2 CALL FOR CBA PROJECT CONCEPTS AND GRANTEE SELECTION


Guide 8

Grantee identification


1 Advertise an open call for project concepts to grantees (NGOs/CBOs) and/or a closed call via existing networks to target an identified group of potential grantees with prior experience in similar projects (e.g. climate change adaptation). Using established networks can help reach potential grantees with the expertise and capacity to work in the geographic areas identified by the CBA country programme strategy.

 *In SPA CBA projects, each country advertised an open call for project concepts, reached out to NGOs and CBOs in its existing network, or both. Each country and the local context drove which option was used. Grantee selection was a practical process based on the existing climate change adaptation capacities of the potential grantee pool, combined with CBA teams' assessment of its own ability to provide capacity-building support at different stages of the project cycle.*

 *See Example 12 for information on assessing and building national capacities.*

 *See Example 13 for details on using existing networks to promote calls for project concepts.*

2 Request that grantees submit concepts using the official project templates or another format specifically prepared for the call. Following a uniform concept submission format facilitates matching potential grantees' expertise and capacity to the key elements of the CBA country programme strategy.

 *In consultation with national coordinators, the central SPA CBA project management unit developed all documentation templates, including project concept templates and the format of the call for proposals.*

 *SPA CBA project templates are available at <http://www.undp-alm.org/projects/spa-community-based-adaptation-project>*

3 Identify the most capable grantees.

 *See Examples 16–19 for examples from Bangladesh, Kazakhsran, Morocco and Samoa.*

Despite the different venues and methods used for the project concept calls, the grantee selection is based on pre-established eligibility criteria set by the national CBA unit as to the most capable potential grantee (see Guide 8). The procedure for SPA CBA project closely followed the selection criteria of typical SGP projects, but with an emphasis on climate change adaptation issues. The ability to ensure local participation and build local capacities was also among the potential success factors assessed. In some cases, the selection was limited to a certain type of grantee—for example, CBOs—as some countries encourage their involvement to promote local capacity- and knowledge-building. To inform prospective practitioners, this chapter provides examples of processes followed by SPA CBA projects in different countries, such as:

- A public call for project concepts followed by selecting the best qualified NGO or CBO grantees based on agreed selection criteria, as in SPA CBA projects in Niger (see Example 15).
- A public call for project concepts followed by selecting grantee NGOs based on a qualifications match with the agreed selection criteria—including NGO capacity to provide training to small CBOs—as in the SPA CBA pilots in both Kazakhstan and Bangladesh (see Examples 16 and 17).

Example 15

Print and electronic advertising and workshops attract grantees in Niger

The CBA Niger call for proposals was advertised in newspapers, posted in public places and announced via online civil society networks. Some local NGO and CBO representatives also visited the Niger Small Grants Programme office to inquire about SPA CBA grant procedures and eligibility, information on which was provided in both hard copy and online formats. In addition, CBA Niger organized an information workshop for a select group of NGOs and CBOs from the target areas identified by the CBA country programme strategy, allowing potential grantees to freely voice questions and to explore potential project concepts with the CBA team, to be further refined for later submission.

The procedure for SPA CBA projects closely followed the selection criteria of regular SGP projects, but with an emphasis on climate change adaptation issues. The ability of grantees to ensure local participation and build local capacity was among the crucial factors in grantee selection.

Example 16

Experienced NGOs help build smaller grantees' climate change adaptation capacity in Kazakhstan

In some SPA CBA pilot countries, national coordinators identified NGOs and CBOs with a background in climate change and adaptation. This process is akin to a 'head hunt', where some pre-identified potential grantees are asked to send in project concepts through a request for proposal. This method was used in Kazakhstan, where the more capable local NGOs assisted the national coordinator in building local CBA capacity among CBOs, smaller NGOs and other stakeholders.

In subsequent calls for project concepts, CBA Kazakhstan sent proposal requests through its established Small Grants Programme electronic network, which is a mailing list of environmental NGOs, CBOs and experts. As the e-network included all active NGOs in the country, the call for proposals was widely shared.

In addition, the Kazakhstan national coordinator contacted some of the better known NGOs in the target areas identified by the CBA country programme strategy and asked them to assist in promoting CBA activities, including the call for concepts, attaining a focused and strategic local dissemination of CBA information and raising the number and quality of responses. The Kazakhstan national coordinator also asked the larger and more experienced NGOs to assist smaller NGOs and community-based organizations in preparing CBA project concepts. Some of these experienced NGOs were formally contracted to build local CBA capacities of smaller stakeholders.

Example 17

Experienced NGOs help build smaller grantees' climate change adaptation capacity in Bangladesh

Bangladesh has a number of NGOs experienced in community-based adaptation to climate change. CBA Bangladesh recruited a selection of these NGOs to help build the capacity of local CBOs. Trainer-NGOs conducted planning workshops with potential grantees to assist with proposal development. In some cases, the experienced NGO became the main grantee, with smaller CBOs acting as sub-grantees.

Involving CBOs and local groups is a general practice for most community-based initiatives in Bangladesh. CBA Bangladesh encouraged the involvement of local CBOs to ensure that projects were truly community-based and to build local capacity. Though funds were largely managed by grantee NGOs, sub-grantee CBOs were responsible for selecting beneficiaries, identifying small interventions and organizing community workshops. This shared project implementation modality was useful for transferring skills to local CBOs through hands-on training in proposal development, fund management for local initiatives, participatory planning, leadership, governance and accountability.

Example 18

CBA Samoa grantee identification procedure may offer roadmap for Small Island Developing States

In a relatively small and tightly knit national community of Samoa, the call for CBA project proposals was circulated by word of mouth. This method may be applicable only to Small Island Developing States, where rich traditional community communication methods compensate for poor digital communication infrastructure. At the time of the call for concepts, many Samoa-based environmental CBOs were already familiar with the Small Grants Programme and perceived the SPA CBA pilots as an extension of SGP, positively affecting overall response. Spreading the word among CBOs led to other potential grantees being invited to submit SPA CBA proposals. Proposals were initially accepted on a rolling basis, later switching to a periodic deadline-based schedule to streamline the number and schedule of national steering committee meetings.

Example 19

CBA Morocco leverages existing climate change projects

In Morocco, CBA projects were built on existing climate change projects within the target areas identified by the CBA country programme strategy. This modality was used to leverage resources and amplify adaptation results. Existing projects implemented by the Small Grants Programme, the UNDP country office and the Moroccan Government provided baselines for new CBA projects, which, in turn, offered a community entry point for adaptation to climate change. This was the case with some bilateral donor projects (e.g. US Peace Corps) and a number of national adaptation research programmes.

Yet this model also had drawbacks. CBA Morocco was limited by the number and type of local CBOs, as most had no climate change background and needed intensive capacity-building in all aspects of project planning, management and monitoring.

3.3 PROJECT CONCEPT DEVELOPMENT

The scoping and design process of CBA projects is accomplished by developing project concepts and full project proposals (see Chapter 4 for details on full proposals). Project concepts and proposals are developed by proponents in consultation with the involved local communities and the CBA country team. As already noted, capacity-building activities are vital to all project development stages, as proponents are often unfamiliar with climate change adaptation and may also be new to the indicator set required by CBA projects.

Guide 9

Developing project concepts

1 Develop or customize project concept templates. Templates streamline the processes by providing a common structure, ensuring completeness of eligibility information and portfolio-wide coherence, and facilitating decision-maker evaluation and approvals.

 *In SPA CBA pilots, the global project management unit both developed new and customized existing Small Grants Programme templates.*

2 Hold capacity-building workshops in preparing and developing project concepts. Workshops increase project proponent knowledge of climate change adaptation and the indicator framework required by CBA projects. Knowledge-exchange meetings among communities, NGOs/CBOs and project staff allow to identify grantee strengths, weaknesses and assistance needed from CBA project staff.

 *Several SPA CBA pilot countries utilized capacity-building workshops during the project conceptual stage.*

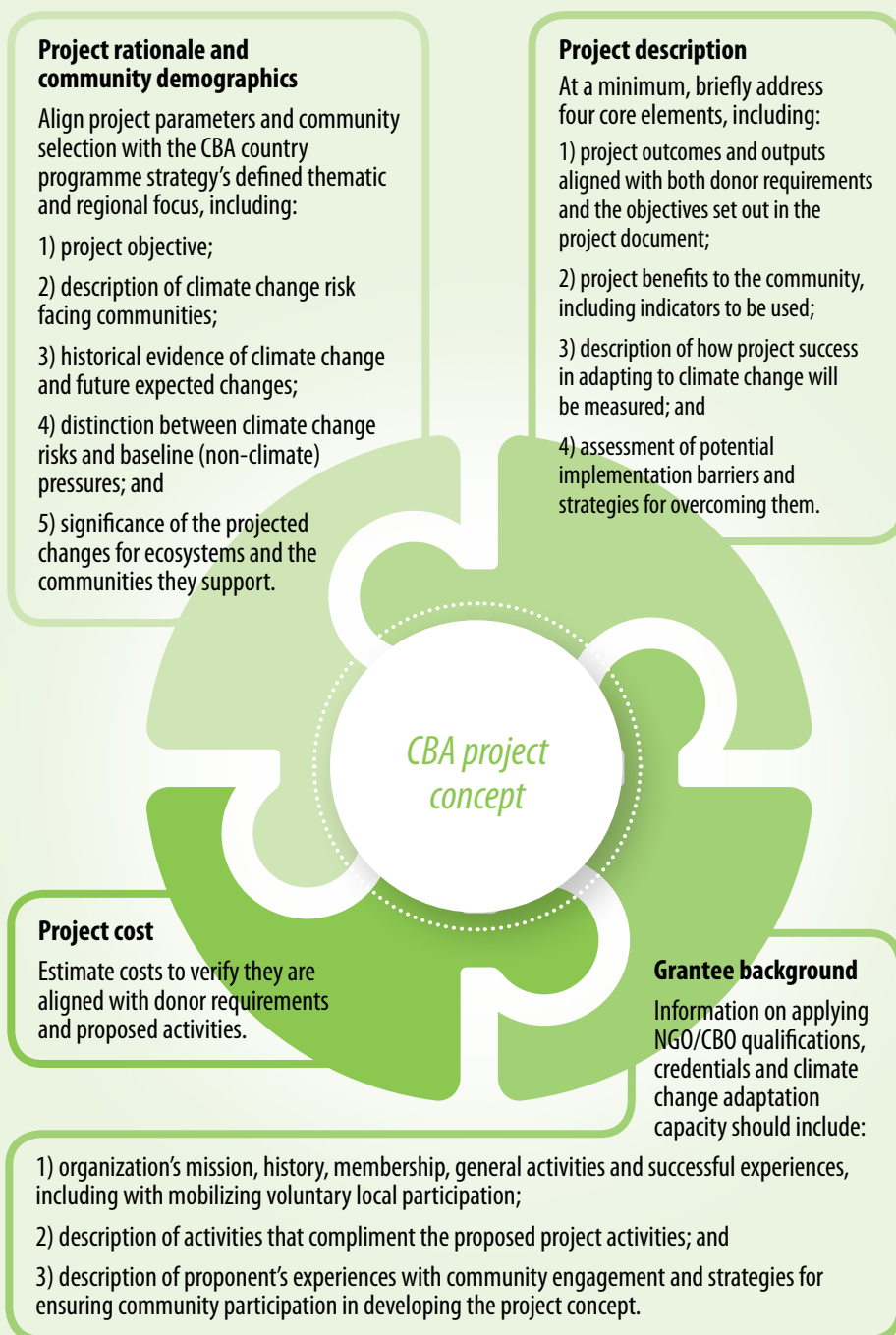
Where the call for project concepts requires discussing local-level climate impacts and scientific assessments, the proponents may rely on publicly available scientific literature, locally available expertise and information on the effects of climate change made available by local government, NGOs and national hydrological or meteorological services. Proponents should consider all available specialized knowledge of the ongoing risks of climate variability and the implications of climate change for a given region or project site. Feedback and information from local stakeholders should set the context in which a CBA project's vulnerability reduction assessments are measured.

With broad information and vulnerability data already defined by the CBA country programme strategy, the national portfolio of CBA projects should focus on the manifestations of current climate variability and predicted impacts of climate change at the local level. The steps in developing project concepts are detailed in Guide 9.

Project concepts have various components that need to be discussed and understood by all stakeholders. Figure 6 examines the common components of CBA project concepts, though some variations may be unique to specific projects.

Figure 6

Common components of a project concept for CBA projects



3.4 PROJECT CONCEPT APPROVAL

Project concept notes are initially validated by the national coordinator, and the national steering committee provides final approval (see Guide 10). Most approved project concepts become full project proposals, while some are dropped during the review process. As such, rigorous scrutiny of project concepts is especially important. In the SPA CBA pilots, nearly all concept notes received required modifications by national coordinators and steering committees. To be considered by the national steering committee, a CBA project concept note needed to demonstrate that: 1) the project idea was relevant and presented a viable solution to a climate change risk, including its variability; 2) the project complied with all stipulations of the CBA country programme strategy; and 3) the proposed budget was appropriate. In the SPA CBA pilots in countries without Small Grants Programme presence (i.e. Bangladesh), the processes outlined by the overarching global CBA project document, including the processes for discussing and evaluating concepts, helped to build capacity of the host organization, the Ministry of Environment and Forests.

Guide 10

National coordinator and national steering committee project concept review and approval process

1 Evaluate project feasibility and alignment with established criteria, including:

- Compliance with donor criteria and local priorities
- Alignment with the CBA country programme strategy
- Appropriateness of the proposed budget

2 Assess whether project concepts capture local knowledge of climate change.

CBA projects are participatory, and local knowledge is used to identify baseline indicators. If such information is unavailable due to lack of understanding in the intervention area, other methods should be used to obtain relevant scientific data.

 See Example 20 for details on how CBA Kazakhstan addressed lack of national climate change data.

3 Approve project concepts that meet eligibility criteria.

Example 20

Lack of national climate change data and information

CBA Kazakhstan found that one of the most difficult aspects of preparing a concept note involved getting the relevant information on climate change for particular sites or geographic regions. Grantees are used to talking about weather, not climate change, and it was not easy to obtain the scientific data and information needed for the concept note. The SPA CBA national unit in the country had the same issue with the concept of 'adaptation', which was difficult to explain in the local context without an understanding of climate change. To address this difficulty, CBA Kazakhstan used local meteorological stations to get reliable information about climate variability and, at the national level, used KAZ Hydromat, the only agency able to provide reliable climate change data which fulfilled the purpose. However, valid local data regarding climate variability was often hard to find.

Ms. Katerina Yushenko, National Coordinator, SPA CBA Kazakhstan

3.5 PROJECT DESIGN, BASELINE INDICATOR MEASUREMENT AND USE OF PLANNING GRANTS

Once a project concept is approved, planning grants may be given upon grantee request to facilitate the project formulation process. Resources and expertise in the planning and design stages should be heavily invested in components that build on local community knowledge and participation. The implementation of the planning phase varies from one country or local context to another, heavily dependent on the capacities and types of target communities.

Planning grants may be used to fund activities within three main focus areas of this phase, which include baseline monitoring and evaluation assessments, local stakeholder consultation and full proposal drafting (see Guide 11). The SPA CBA pilots provided planning grants of up to US\$2,000 to cover the costs of developing full project proposals. CBA project staff found this step valuable for establishing a more robust CBA portfolio, because it allowed to better gauge grantee commitment, motivation and capacities.

3.5.1 EXAMPLES FROM THE SPA CBA PROJECT: PROJECT PLANNING AND MANAGEMENT

In SPA CBA Morocco and Niger pilots, the planning phase started with meetings of community and local leaders and stakeholders to discuss planned CBA projects and gather local input and support. In particular, a vulnerability reduction assessment (VRA) workshop was held at the start of each project to obtain baseline information and to mobilize communities. When held repeatedly over



BASELINE MONITORING AND EVALUATION

Obtain baseline measurements using vulnerability assessment tools and impact indicators identified by the project. Baseline information is an important component of full project proposals, as it provides a key benchmark indicator for future monitoring and evaluation. Baseline information on community groups and volunteering also helps identify capacity development areas to enable strong community participation.

LOCAL STAKEHOLDER CONSULTATION

Involve community members in the design stage and focus on the climate change risks of the most vulnerable community groups. In line with the CBA approach of ensuring project success through participatory design, target communities should play a strong role in the design of both the project itself and of its monitoring and evaluation framework. Involving community members builds ownership, increases awareness of climate change and adaptation issues, and takes advantage of local knowledge.

FULL PROJECT PROPOSAL DEVELOPMENT

Hold workshops or training sessions to build the capacities of grantees and targeted beneficiaries in developing full project proposals. Using project-developed templates standardizes the process, ensures the completeness of eligibility information provided and its compliance to established criteria. As with project concepts, using a unified proposal format also facilitates proposal review and approval processes. Good planning can help avoid implementation mistakes. In situations where capacities have been built, fewer or no planning grants were needed for project development. In cases of CBO grantees with limited backgrounds and resources to prepare full project proposals, or grantees that found proposal templates overly complex, planning grants facilitated the provision of step-by-step proposal development guidance.

the implementation period, these sessions provided opportunities for feedback and corrective action.

More generally, VRA was the primary SPA CBA planning tool and the method of increasing community awareness and participation. VRA information, together with national climate change information for the intended project sites, contributed to the establishment of baseline project data, further complemented by local knowledge and community perceptions of risks and variability (see Chapter 5 for details on VRA).

3.5.2 TIPS FOR IDENTIFYING GRANTEES AND PROJECT FORMULATION

- **Tailor the call for project concepts to the climate change adaptation knowledge of NGOs and CBOs in the target area.** The capacity of prospective grantees drives the choice between open and closed calls for proposals, with the latter used when a large awareness- and capacity-building effort is required for CBA projects.
- **Develop a strategic capacity-building methodology.** Examples include using experienced NGOs as partners for training of local grantees, offering training workshops, and preparing templates⁸ and written guidance to facilitate project-related paperwork.
- **Consider using planning grants to facilitate full proposal development.** During the planning phase, important capacity-building takes place at the community and grantee level, often expediting proposal development and later implementation. Planning also prepares a grantee for the administrative duties of project management that conform to specific CBA project requirements.
- **Involve independent experts whenever possible.** Even though NGOs may have adaptation project experience, they still require guidance and assistance. Experts can provide needed support and ensure that scientific and socio-economic issues are addressed properly.
- **Simplify grantee templates and provide tools to guide applicants through the complex technical aspects of climate change adaptation, including variability.** Grantees will have an easier time applying for funds if the language and structure of application materials are accessible.

8 SPA CBA project templates are available at undp-alm.org/projects/spa-community-based-adaptation-project

CBA Self-Help Groups with officials from the Ministry of Fisheries in Namibia show off tilapia catches from hand-dug earth ponds fed by rainwater.



CHAPTER 4

CBA PROJECT CYCLE B: FULL CBA PROPOSAL TO PROJECT IMPLEMENTATION

Figure 7

SPA CBA project cycle from proposal development to monitoring and reporting



This chapter explores CBA project phases that follow initial planning, including:

- Development of full project proposals;
- Selection of CBA project indicators, including those on global environmental benefits;⁹
- Project approval process;
- Memorandum of Agreement preparation and funding disbursement;
- Project implementation; and
- Participatory monitoring and reporting.

9 The selection of one GEB indicator per project was mandatory for all SPA CBA projects as per the GEF SPA CBA ProDoc, 2008. The projects had to show how they contributed to reversing land degradation or to the promotion of globally significant biodiversity. This however will not be desirable or required for most other CBA projects.

4.1. FULL CBA PROJECT PROPOSAL DEVELOPMENT

As discussed in Chapter 3, a comprehensive planning phase that identifies baseline indicators and other information facilitates and simplifies developing full project proposals. During both planning and full project proposal development phases, coordinators of local-level projects are advised to work closely with the overarching CBA programme's project management officials (roles are elaborated in Chapter 1, Figure 1), seeking guidance and technical support to ensure that proposals address the technical requirements set out in the guiding CBA programme document.


By this point, grantees should have been trained in proposal development, engaged with target communities, captured local knowledge and consulted with various stakeholders. As grantees increase their proposal development capacities, they can, in turn, offer capacity-building training to other national and local stakeholders. Transforming from trainees to trainers, CBA practitioners can further expand their skill sets.

Guide 12 elaborates on developing a full project proposal, while Guide 13 details proposal components and the rationale for their importance, allowing practitioners to fully understand and appreciate the scope of the process.

Guide 12

Developing a full CBA project proposal

1 Development of a full project proposal. Once approved, the full project proposal becomes the main document that provides the project framework. The proposal details the mechanics of the project and provides information on the measures to be implemented—all of which have been developed in consultation with local stakeholders during the planning phase.

 *In the SPA CBA pilots, each project developed a set of outcomes, activities and tasks that supported the project objective as part of the project proposal development. These were independently verifiable and included objective measures, such as the size of the project area, percentage of yield increase or number of people with access to clean water.*

2 Liaising with project proponents to gather information required for proposal development. CBA country project units can help proponents understand and include appropriate information in proposals using templates.

 *See Annex for the full proposal template used by the SPA CBA pilots.*

Guide 13


Full CBA project proposal components

1 Community context. Proposals must provide a comprehensive description of target beneficiaries, including demographics such as vulnerable groups, gender, livelihoods, number of people, ages, ethnicities, livelihood types, economic status and other characteristics of social status.

2 Climate context. Proposals should describe the target community's regional or local climate. While this description does not have to be very scientific, it should address:

- Seasonality of climate parameters, including approximate times of year for warm/cool or rainy/dry seasons;
- Timing of acute climate risks (e.g. July for droughts, February for floods);
- Current climate risks, including cyclical hazards (events that recur every few years), such as floods and droughts related to El Niño Southern Oscillation (ENSO) or other phenomena, as well as risks not associated with climate change;
- Likely climate changes for the region and recent manifestations of the change, if any, based on available literature, documentation of scientific climate change risk assessments, the CBA country programme strategy or other national strategic documents (e.g. UNFCCC communications or the National Adaptation Programmes of Action).


3 Impacts context. After detailing climate risks, proposals need to detail their impacts on people's lives and livelihoods based on scientific assessments and traditional knowledge from intended project sites. Such information could potentially include: impacts on lives, livelihoods and critical ecosystems (those that provide food, water, flood protection or other services), most affected community segments and the reasons why (focusing on gender, socio-economic class, livelihood type, etc.).



4 Project approach. Proposal sections on approach address how the project intends to facilitate community adaptation to the phenomena (climate risks and changes) identified in Step 2. In addition, project approaches should be compatible with three sets of criteria, including:


- Donor requirements;
- Thematic focus and geographic area of intervention identified by the CBA country programme strategy; and
- Providing local benefits and impacts beyond project boundaries.

The project approach section should elaborate a strategy for meeting these criteria alongside meeting community priorities and benefits and adapting to climate change. In addition, the project approach should include assessing community awareness of climate change risks. If such awareness is absent or insufficient, the project approach should include awareness-raising measures. Project beneficiaries need to develop and maintain an understanding of present and potential future local climate challenges, derived from a combination of their own perceptions and scientific assessment information.




5 Project formulation. Proposals should illustrate how the project idea was conceptualized, in terms of both the central theme and the supporting components. This section should also describe the roles of project proponents and host communities, addressing how they will work together and inform each other. At this stage, proponents and stakeholders elaborate a project implementation framework, preferably based on the Theory of Change methodology, in which ‘learning by doing’ and reflecting are the predominant thinking processes.


 See Example 21.




6 Project implementation. Implementation considerations begin with a plan for host community members’ continuous engagement in the project. Community participation is vital, as it helps to ensure that the project takes locally important factors into account while helping to ensure work benefits the host communities after grants cease. The implementation section should also address issues of technical expertise, volunteering capacity and the causal relationship between proposed activities and project outcomes.



7 Replication, mainstreaming and scaling out and up. To be widely relevant, and to meet a core CBA requirement, proposals should illustrate how proposed project outcomes can be taken beyond initial implementation sites and mainstreamed into new programmes within the landscape and the policy development arena.



8 Project sustainability and phase-out. This exit strategy section needs to detail the eventual project conclusion, including activities to be carried on by the host community, activities to be transitioned into government structures at all levels, and project impact sustainability considerations (environmental, financial, social and institutional).



9 Proponent description. Proposals serve to summarize grantee qualifications, credentials and capacity in not only climate change adaptation and variability, but also in working with target (or similar) communities. Details should encompass the grantee organization's mission, history, membership, management, organizational structure, current programmes, annual funding, financial systems and procedures. In some cases, the latest audited financial statement and an organizational budget may be requested by national steering committees.

In the SPA CBA pilots, this section of the proposal was found to be useful because the proposals were stand-alone documents that supported the Memorandum of Agreement between the grantee and the funding partner. In addition, this section provides a comprehensive summary of grantees' fiduciary experience, often required for local-based institutions to demonstrate financial management capacity, accountability for funds previously vested on them by others, and ability to uphold fiduciary duties without conflicts of interest.

10 Objective, outcome, planned activities and tasks. In addition to being in line with the approved project concept, project objectives and outcomes must be SMART (specific, measurable, attainable, relevant and time-bound). This section should elaborate the planned outcomes to meet the project objective and the outputs that would lead to these outcomes. All outcomes must be compatible with donor criteria and be independently measurable. Outcomes must also clearly and directly support the project objective, and proposed activities and tasks should demonstrate a causal relationship between activities and outputs.

11 Timetable. The timetable section schedules various activities and tasks. The timetable should be realistic, and activities should be coordinated to support one another. Most CBA projects run for 18 to 24 months, and this period may not be long enough to ensure continuity of the behavioural changes needed to ensure project sustainability. In communities where adaptation is a new concept and civil society organizations are the prevalent grantees, project development should be handled simultaneously with capacity-building to avoid implementation delays. However, in cases where objectives require the project results to contribute to or influence local and national policy, the two-year timeline should be extended. Policy advocacy is a time-consuming process that requires a volume of concrete and verifiable project result evidence, as well as long-term engagement in local, national or global discourse, before the results of advocacy work are reflected in policy instruments.

12 Barriers and risks. A risk management plan for overcoming predictable and unforeseen obstacles, internal and external to project proponents and the project itself, is an essential part of project proposals, as such barriers can impede or entirely derail the realization of outputs and outcomes. For barriers, proposals should address financial, social, technological and institutional obstacles to project implementation and describe how these will be removed. Capacity constraints of key adaptation activities should be addressed in a similar fashion. For risks, it is important to consider internal and external influences on the proposed project. For example, these could include suboptimal performance of a new technology application or currency fluctuations that change the economics of a project. Thus, proposals should describe potential risks and assumptions that may hinder achievement of project objectives and include risk management strategies.

In SPA CBA pilot projects, risks and barriers were initially detailed in the global project document and later cross-referenced with formulated local projects. Under the Theory of Change paradigm, it is not very important to determine risks and assumptions beforehand, as project implementation includes periodically reflecting on progress, difficulties and obstacles and changing course as necessary to compensate for impeding factors and risks. This scenario requires a full and clear understanding of the intended outcome that influences process and activities. Engaging PRINCE2-accredited project managers may be beneficial, as this process-based method of project management skilfully embraces the Theory of Change concept.

13 Monitoring and evaluation plan. Because release of allocated funds is typically contingent on progress demonstrated by monitoring and evaluation reports, it is essential for proposals to establish the indicators to be monitored and a timeline for measurement (e.g. in the first, second or final reporting periods).

For SPA CBA pilots, changing indicators was not possible until the mid-term evaluation period, because a logical framework was already designed and included in the programme document. While an inception meeting should validate project delivery processes and outcomes at the outset of work, the Theory of Change approach requires such validation to be repeated frequently and in real time throughout the project cycle.

14 Project management. The primary management consideration is identifying focal points and detailing their roles and responsibilities. This section should describe the relationship among partnering organizations, including each partner's responsibilities of and how they will work together with project proponents to achieve the objective. The project management section should also consider human technical assistance and advisory support needs and how these will be provided.

SPA CBA pilots relied heavily on United Nations Volunteers to provide technical support in community mobilization, to act as 'participatory researchers' and to help in documenting local social impacts of projects. Such tasks would have proven difficult for the SGP national coordinators to accomplish alone, given their huge national portfolios of non-CBA projects.

15 Total project cost and grant amount requested. The budget is an integral part of a full project proposal and a part of a binding contract between the grantee organization and the donor. Therefore, proposals must include a detailed budget for the entire project, including funding from the primary donor and other sources of funding, such as cash and in-kind components. At this stage, proponents and stakeholders elaborate a project implementation framework, preferably based on the Theory of Change methodology, in which 'learning by doing' and reflecting are the predominant thinking processes:

- Funding can only support outcomes that are in line with the donor organization's internally pre-defined criteria.
- Budgets may include only items directly related to the outputs described in the proposal. Each budget line should be associated with an outcome and an output (see preceding Step 10).
- Budgeted costs must be realistic— neither unduly inflated nor insufficient to support project outputs. Estimating costs should be based on adequate research.
- Budgets should include all costs associated with managing and administering the proposed CBA project—including, in particular, the cost of monitoring and evaluation activities.
- Donors rarely fund indirect costs (i.e. administrative overhead). If not specifically requested, this particular funding request should not be included.
- By accepting donor funds, grantees agree to be accountable for how those funds are spent and to make all relevant financial records available as required. These may be independently audited and become public information.

Under SPA CBA, to ensure that all financial requirements were met, templates for fund request and for reporting were developed at the global level and issued to the grantees to use. Note that each donor will have different reporting and funding requirements; proponents should be aware of the unique donor requirements. Another important experience from SPA CBA is that there was a need to include an allowable administrative cost (not more than 10 percent) that was built into the project activity plans. These may allow an element of support to management or administrative costs to grantees.

Example 21

CBA is based on behavioural change

During the first phase of the SPA CBA project, many pilots focused more on the ecological impacts of climate change than on its social impacts. However, on-the-ground practitioners reported that they learned to put an equal emphasis on empowerment and sustainable community development. The consensus among SPA CBA practitioners was that including additional community development specialists, community mobilizers and policy advocacy experts on the national steering committee would have enriched projects even further. As stated by the CBA Bangladesh national coordinator, “CBA equals behavioural change, and behavioural change needs time and resources, both human and material inputs.”

CBA = Behavioural change

Mr. Mohammed Abu Sumon, National Coordinator, SPA CBA Bangladesh

4.2 INDICATOR SELECTION

Vulnerability and impact indicators need to be established to measure project performance. In many sustainable development and most adaptation projects, indicators should be elaborated in full CBA project proposals. As such indicators are contextual and, therefore, entirely unique to a given combination of country, site, project theme and host community demographics, many grantees are likely to require guidance from national CBA teams. For community adaptation and environmental indicators, the level of sophistication should vary according to grantee and host community capacities.

Generic sectoral CBA indicator guides can provide a starting point for establishing a set of indicators best suited to national and subnational needs. Overall, indicators should be established to measure community adaptation and socio-economic status, empowerment of marginalized groups, community participation and volunteering, and ecological aspects. Indicators should also align with the project log-frame or the planning documents guiding implementation. If a generic sectoral indicators template is not available, national CBA teams will need to provide additional and more frequent technical assistance.

Example 22

Global, national and local stakeholder engagement in establishing indicators

SPA CBA practitioners often asked the global project management unit for guidance regarding indicator selection, particularly at the start of country initiatives. CBA programme management also responded to requests for clarifying the concept of global environmental benefits and how these apply to specific projects. Using a detailed CBA indicator guide and template can assist practitioners without specific prior CBA project experience. As in all other areas of CBA pilot projects, community-based organizations needed the most support in indicator selection, monitoring and reporting. Most grantees, even experienced environmental NGOs, needed some guidance in this area.

Notably, assistance with log-frame development and monitoring system set-up is required by most CBA projects. The scope of assistance and the best way to deliver it depend on the country context. Though there is no set formula, experience demonstrates that capacity-building guidance is in extraordinarily high demand, hence experts and project teams should allocate considerable time and sufficient funding to such support.

4.2.1 GLOBAL ENVIRONMENTAL BENEFITS INDICATOR SELECTION AND MONITORING

The SPA CBA programme required community projects to demonstrate their contribution to global environmental benefits to qualify for funding. Note that this is not always the case for all CBA projects. It is best to agree on the area of focus and the indicators that will be used to measure performance, based on expected project outcomes. The sectoral approach to indicator selection that informs this guide was a decision reached by all stakeholders in a GEF-funded implementation workshop. The GEF requirement for funding CBA projects and the delivery of financing through the Strategic Priority on Adaptation window of the GEF Trust Fund made it important to report on two of the six GEF focal areas:¹⁰ sustainable land management and biodiversity. As such, SPA CBA projects were required to choose one global environmental benefit indicator (see Figure 8) and monitor and evaluate it alongside other project indicators.

The SPA CBA project document specifically outlines the requirements of contributing to global environmental benefits, which affected whether or not projects received funding. The document states: “Therefore the SPA guidelines mandate

Figure 8

Global environmental benefits indicators

Land degradation

- Hectares of degraded land restored
- Tons of soil erosion prevented from leaving a particular land area or watershed
- Number of innovations/new technologies developed/applied
- Number of local policies informed by project results in land degradation focal area
- Number of national policies informed in land degradation focal area

Biodiversity

- Number of globally significant species protected by project
- Number of innovations/new technologies developed/applied
- Number of local policies informed by project results in the biodiversity focal area
- Number of national policies informed by project results in the biodiversity focal area

Source: SPA CBA ProDoc, 2008

10 Biodiversity, climate change, international waters, ozone, land degradation and persistent organic pollutants.

that projects outline first a baseline scenario. Then an alternative GEF scenario should be constructed to include activities that, without global warming, would be expected to produce the desired global environmental benefits. This scenario should also contain activities to be funded under the SPA that will ensure the robustness of those global environmental benefits by improving the resilience of the systems concerned. The difference between relative costs associated with the baseline scenario and the alternative scenario are the incremental costs. Only those costs associated with the second part of the alternative scenario—those necessary to ensure the robustness of the global environmental benefits—will be funded from the SPA. The cost associated with the first part of the alternative scenario—those necessary to deliver the global benefits without global warming—will be funded from the focal area allocations of the GEF Trust Fund. Under the baseline scenario, communities with low adaptive capacity tend to consume resources to deal with current climate uncertainties in unsustainable ways that will be exacerbated under conditions of long-term climate change and climate variability. Under the alternative, communities with greater adaptive capacity tend to consume resources in ways that are sustainable under conditions of long-term climate change, including variability.”¹¹

Most CBA projects did not encounter difficulties in tracking land degradation, as the indicators used were similar to the Small Grants Programme indicators that a fair number of grantees had used in previous sustainable land management projects. Where needed, CBA teams provided grantees with examples of how to measure rehabilitated, restored or further developed areas using traditional methods for estimating land areas (hectares or acres)—for example, by counting planted saplings and measuring by rope.

CBA practitioners may face challenges in explaining the concept of global environmental benefits and relating it to local-level livelihood indicators. It is important to be clear as to what can be measured, and with what means, to ensure that grantee organizations and host communities are able to gather the agreed indicator data at the local level.

4.3 FULL PROJECT PROPOSAL REVIEW

The purpose of the national steering committee review of full CBA project proposals is quite different from the purpose of project concept reviews. As all prospective grantees should have had adequate time and guidance to develop concrete project proposals based on previously approved project concepts, the purpose of the second review is to provide national steering committee members and PMU officials with a venue for comments and suggestions before project implementation. Ideally, all proposals are approved either immediately upon initial review or upon modification of the proposal to integrate the governing body’s direction (see Example 23).

11 SPA CBA ProDoc, 2008, p. 10.

Example 23

Full project proposal review process in SPA CBA pilots

After completing the full CBA project proposal according to the requirements and eligibility criteria determined by the national CBA unit, including selecting project indicators and specifying how they will be monitored and reported, the grantee submits the project proposal for national steering committee review. This review should progress according to a clear Terms of Reference, to ensure uniformity of general project acceptance criteria. Once revisions are completed and proposals are accepted, grantees move to the pre-implementation stage of signing a Memorandum of Agreement to receive the first funding tranche.

4.4 EXECUTING A MEMORANDUM OF AGREEMENT AND FUND DISBURSEMENTS

Entering into legally binding contracts, such as a Memorandum of Agreement, follows full proposal approval. Agreements should be drawn up between the two parties: the partner funding the project (grantor) and the recipient of funds (grantee). The agreement document spells out the terms, conditions and time-frame under which a specific project is to be delivered, including progress reporting procedures and grant disbursement schedules. A grantee is expected to adhere to all terms of the agreement and to honour the set time-frame for project deliverables. Delays in project activities would, in most cases, result in modifications of the agreement; however, grantee non-compliance with agreed terms may result in project termination and necessitate the return of previously disbursed funds.

In cases where actual grantees are not able to directly receive funds—for instance, due to insufficient capacity to engage in a legal contract or lack of access to financial services—an intermediary grantee can step in to bridge the gap. Such situations may occur with small community-based grantee organizations that lack accounting systems, have language barriers or are located in rural areas with no banking facilities. Intermediary grantees are often NGOs with more established financial and legal systems, and a proven track record with the grantor; such NGOs serve as a ‘pass-through entity’ by receiving and channelling the funds on behalf of the actual grantee.

The intermediary grantee may also more directly participate in project work, for example, by providing capacity-building support to the actual grantee. Capacity-building activities vary based on the specific needs of actual grantees and the intermediary NGO’s own capacities. Examples of support activities from the SPA CBA experience include translation, basic accounting services and assistance with becoming a registered legal entity. A large scope of capacity-building support may necessitate the intermediary grantee charging a nominal fee. In GEF

SGP projects, for example, the intermediary grantees may receive cost recovery fees of up to 10 percent of the total grant amount. Notably, such fees need to be included in the full project proposal, approved by the national steering committee and detailed in the legal instrument (i.e. Memorandum of Agreement).

There may be extreme cases where actual grantees cannot directly receive the funds but an intermediary grantee arrangement is not desired, available or feasible. In such cases, the actual grantee and the grantor may enter into a Legal Representative Memorandum of Agreement. Under this arrangement, one or more senior-level members of the grantee organization may open a new bank account specifically to receive grant funds on behalf of the beneficiary organization. The risk level of this arrangement is higher than that of other grant delivery modalities. As in any legally binding agreement, it is critical to verify the track records of grantee organizations and its officers or staff who will serve as legal representatives before entering into an agreement. It is also advisable to engage more than one member in this new account to mitigate potential risks, such as an unexpected unavailability of the signatory causing implementation delays. Finally, regular monitoring and oversight at the local level are essential.

Irrespective of which legal instrument is used, smooth project implementation on the ground requires CBA units to explain each clause of the Memorandum of Agreement or other relevant legal document to the grantee, and to ensure that the grantee has clearly understood the terms before signing.

4.5 PROJECT IMPLEMENTATION, MONITORING AND EVALUATION

After a legally binding agreement is put in place, the first tranche of funds is transferred to the grantees and implementation of the measures described in the proposals begins.

At each disbursement interval, grantees are required to present a short progress report, including latest results of vulnerability assessments and project impact indicators, if applicable. Reports should highlight project accomplishments, setbacks and other notable events, providing sufficient detail on the background and methods behind the indicator data. Importantly, reports should be quite brief to avoid overburdening the grantees with monitoring and evaluation activities and shifting focus away from project activities.

A well-defined monitoring and evaluation process:

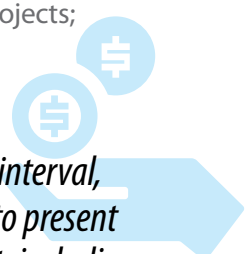
- Facilitates identifying and resolving problems that arise throughout the course of projects;
- Enhances project performance and assesses project impacts;

- Provides the basis for technical and financial accountability;
- Builds local capacity to successfully implement and manage projects;
- Strengthens community ownership of adaptation activities;
- Promotes the identification and dissemination of lessons learned by participants themselves; and
- Ensures congruence of projects with CBA criteria, which are based on the criteria elaborated in individual CBA country programme strategies.

Just as other elements of a CBA project, its monitoring and evaluation framework needs to be strongly participatory and stakeholder-driven. Monitoring and evaluation should facilitate learning and the transfer of knowledge, recognize community contributions and motivate ongoing voluntary participation. The people best placed to assess a project's impacts are those targeted by the project—or those who regularly interact with the ecosystems targeted by project activities. Thus, monitoring and evaluation should assess project successes or failures preferably by using simple techniques that are readily understood by project staff and that directly measure project interventions. Such data unites objective indicators for all project outputs with qualitative indicators that are derived through participatory dialogue to measure community perceptions of changing risk over time. (For further discussion, see Section 5.3.)

Monitoring and evaluation activities should be conducted at the programme and project site—or local—levels. Programme-level functions involve the aggregation of individual projects' monitoring and evaluation information and outcome indicators. To facilitate project comparison and data aggregation at the programme level, monitoring and evaluation involves the use of indicators and the construction of vulnerability reduction assessment indices that can be at the project and programme levels.


As projects progress, grantees develop capacities and become increasingly familiar with the project they are implementing, which reduces the need for continuous support from external sources. However, regular monitoring that includes phone consultations is useful to ensure that grantees report promptly and in accordance with agreed requirements. The SPA CBA pilot in Kazakhstan provides an example of a national coordinator adopting a structured and rigorous follow-up approach (see Example 24).



At each disbursement interval, grantees are required to present a short progress report, including latest results of vulnerability assessments and project impact indicators, if applicable. Reports should highlight project accomplishments, setbacks and other notable events, providing sufficient detail on the background and methods behind indicator data.

Example 24

Follow-up process for delayed grantee reporting

The national coordinator monitors projects regularly. A month before the reporting date specified by the Memorandum of Agreement, the grantee CBO or NGO receives a reminder that it needs to report. From that date on, CBA unit staff calls weekly. Despite these promptings, one should note that there will still be some delays in progress reporting. The national coordinator needs to keep track of monitoring requirements to stay within the agreed schedule. 

Ms. Katerina Yushenko, National Coordinator, SPA CBA Kazakhstan

4.5.1 BUILDING CAPACITY AND IDENTIFYING TOOLS FOR PROGRESS REPORTING

Similar to the capacity-building training often needed to familiarize project proponents with developing project concepts and full proposals during earlier stages of CBA projects, coordinating units should plan to provide tools to assist grantees with progress reporting. This is critical, as fund disbursements are contingent on receipt of progress reports. Incomplete progress reports can be returned to grantees for additional qualitative information, thus causing fund disbursement delays and, ultimately, delays in project implementation. It is commonly known that the main challenge of progress reporting is the grantee tendency to focus on project implementation, forgetting to report as required. Most grantees are not used to documenting progress either regularly or in detail; reports tend to be put together in a rush at the very end of the reporting period. In addition, some grantees do not have the capacity to write reports and will see the task as a chore that gets postponed and only completed when absolutely necessary. In such situations, reporting quality is compromised, as omissions occur due to memory lapses, pressure of meeting the grantor's deadline, having other deadlines or being understaffed.

To ease report preparation and help manage grantee workload, national CBA units should train grantees in project management tools and techniques, such as weekly log keeping to write down—and record for future reporting—the main project events and activities. Making such documentation part of the project implementation process and regularly reminding grantees to spend the minimal amount of time required to keep such records can simplify progress reporting to compiling materials rather than writing a report from scratch. Keeping project logs of events and activities has also proven to be a good management tool that can increase the accountability of implementing staff.

It is important to set realistic reporting requirements not only in scope and processes, but also in timing, particularly with projects that have advocacy, awareness-raising or policy-influencing objectives (see Figure 9).

4.5.2 ON-SITE MONITORING

Field visits by national CBA unit staff to each project site are essential for follow-up and monitoring and should preferably be scheduled on a quarterly basis. Site visits during the first months of implementation allow all stakeholders to meet each other, communicate in-person and jointly set the schedule. First and foremost, site visits foster goodwill: face-to-face communication might open discourse or allow country project staff to address issues they may not be able to or wish to address in writing.

In conjunction with phone and email follow-up, regular field presence throughout the project cycle can help ensure work progresses as planned, and emerging issues and challenges are addressed promptly. At a minimum, field visits should be used to deliver capacity-building and training activities. When appropriate, project managers from CBOs, NGOs and local partners should visit grantee offices to discuss project matters; such visits could also be synchronized with visits to or from national steering committees for coordinated technical support. Visits can also facilitate cross-referencing project expenses against project activities to ensure that funds are appropriately used towards attaining the established objectives.

Perhaps most important from the viewpoint of community-level implementation, site visits help maintain close and productive working relationships with local partners, supporting and encouraging community mobilization. The common consensus among SPA CBA team members is that field visits help include marginalized groups and boost local community participation in the project.

4.5.3 MONITORING EXPENDITURES FOR ADHERENCE TO BUDGETED AMOUNTS

Discrepancies between planned and actual activities can arise at any point of project implementation, in turn affecting project budgets and the release of grants. Such discrepancies occur for various reasons, from weather-related activity delays to institutional or infrastructure issues affecting service delivery. Irrespective of the reasons, discrepancies between planned implementation activities and their corresponding budget lines must be resolved to the satisfaction of both grantee and the CBA national team before further payments are disbursed.

Sometimes, a resolution is as simple as a minor shift of resources from one budget line to another. For instance, SPA CBA and other Small Grants Programme projects allowed up to a 20 percent variance in individual line-item budgets; however, projects were not allowed to exceed their total budgets or change the amounts or number of payment tranches.

4.6 FACILITATING TIMELY IMPLEMENTATION

CBA practitioners often face unanticipated delays during project implementation. Though there are many different causes of delays, chief among them is the length and depth of processes required to plan and implement community-based projects. Delays result in some loss of momentum, especially with CBOs that are unfamiliar with planning CBA projects, which are somewhat different from development projects. A time lag of more than three months can diminish a community's interest; this is especially true for projects that rely on community mobilization and require building consensus.

Some timing issues can be anticipated. For example, if government permits are needed to commence some activities, it is important to plan on obtaining these in advance, within government-imposed timelines and allocating sufficient time in the CBA project implementation schedule. In contrast, unpredictable climate events can be the cause of delay, as was the case of CBA Niger, where some project activities were delayed due to severe droughts that caused famine in intervention areas. In such instances, work plans are amended to respond to seasonal variability.

Lack of community involvement and mobilization at the start of the project will also cause delays, since CBA projects are heavily dependent on community knowledge, feedback, participation and ownership (see Section 5.2 for further discussion).

A time lag of more than three months can diminish a community's interest; this is especially true for projects that rely on community mobilization and require building consensus.



Left: Global and national CBA teams visit project sites in Jamaica. Right: A Samoan landscape.



4.6.1 TIPS FOR PROPOSAL DEVELOPMENT AND PROJECT IMPLEMENTATION

- **Allocate sufficient time and resources to building local capacities and provide technical support to grantees in full project proposal development.**
- **Carefully consider and agree on the appropriateness of selected indicators for measuring communities' resilience to impacts of climate change.** Grantees themselves must understand the indicators to be used and the methods to measure and report on them. CBA project teams must be fully trained, both in technical aspects of community-based adaptation and in facilitation—focusing specifically on task-oriented training and broader knowledge sharing and capacity-building.
- **Use a legally binding instrument,** such as Memorandum of Agreement, to detail the terms of project implementation. Such instruments provide an effective management tool to monitor grantees and ensure their adherence to previously agreed terms, including the scope and timing of progress and financial reporting and budget management.
- **Conduct regular monitoring field visits to each CBA project site as often as possible,** preferably on a quarterly basis. CBA projects require close interaction with grantees and communities, which is better done in person. When not possible or practical, online solutions such as Skype and GoToMeeting present useful opportunities for face-to-face contact.
- **Promote participatory community monitoring.** Participatory monitoring of projects should be conducted simultaneously with vulnerability risk assessment sessions. Effectively combining the two activities can help leverage time and resources to undertake an independent monitoring activity.
- **Tap into linked climate change projects' monitoring, follow-up and advocacy capacities.** For example, the funding partner may have similar projects in its portfolio, and several UN agencies may be working in the same geographic area, allowing for economies of scale. Similarly, including national steering committee members and stakeholders in field monitoring assists in project management and paves the way for policy advocacy.
- **Validate reported data** with previous information and any available national and local climate change and variability sources of data for the project site.

A villager from Ksar climbs a tree in Laachoria, Morocco, to harvest agricultural yields increased by soil and local agrobiodiversity conservation initiatives.



CHAPTER 5

COMMUNITY MOBILIZATION AND PARTICIPATORY MONITORING

Community mobilization is central to all phases of CBA project planning, implementation and monitoring. CBA projects use community participation to foster adaptive behaviour, leading to increased robustness of their response in the face of climate change and its variability. Community participation and ownership are needed and important to ensuring sustainability of results after project conclusion. CBA, by definition, cannot be achieved without community mobilization, empowerment and ownership. This chapter explores issues including:

- Community participation and volunteerism;
- Community mobilization;
- An overview of the vulnerability reduction assessment (VRA) methodology;
- VRA implementation challenges; and
- Adapting VRA implementation to individual project needs.

5.1 COMMUNITY PARTICIPATION AND VOLUNTEERISM

As this guide has repeatedly stressed, community participation and ownership are the main ingredients of CBA projects, as community members are the primary implementers of project activities. Their voluntary participation ensures ownership, which, in turn, ensures sustainability of projects and their results. As a fundamental condition for project concept approval, community participation in CBA projects must be verifiable and should commence at the initial project concept development stage, which assesses the adaptation needs of the target community and how it plans to participate in resilience-building work.

Community meetings at project sites should be used as the starting point for assessing beneficiary motivation, needs, participation obstacles and solutions to overcome them. Such gatherings allow CBA practitioners to identify the tools needed to engage community members, including processes to ensure inclusion of marginalized community segments.

Much of the participation discussed here, whether by community members or by others, refers to how they volunteer as a society or homogenous group. Volunteering has long been part of community culture and behaviour, although community members may not see such actions as volunteerism. Still, it exists and takes multiple terms and forms, expressed through formal services, mutual aid or self-help, and advocacy or campaigning. Regardless of what it is called, actions performed of one's free will for the common good and not primarily for financial reasons can be referred to as volunteering for the purposes of this guide.

Discussions in community meetings can facilitate a common understanding of volunteering by identifying the most appropriate local terms and traditions associated with donating one's time, labour or expertise. Often, the concept of

volunteering is associated with charity and giving. In CBA projects, an alternative term that denotes mutual benefit and exchange is often more appropriate. For example, volunteering tends to be seen as charity in Bangladesh. In CBA Bangladesh, when families received a project input such as seeds, the women of the family contributed their labour by planting the seeds and taking care of them; this was perceived as an exchange, not an act of volunteerism.

Practitioners should also note situations in which local stakeholders contribute land or money for political reasons, and consider this to be volunteerism. For example, someone planning to run for office in upcoming local elections may endeavour to leverage project contributions to garner political support. CBA project management should consider potential ramifications of such contributions, guided by UNDP corporate principles of remaining a neutral and impartial facilitator of local development processes.

Sustaining community participation in the phases between the exciting initial concept approval and first tangible achievements or results takes good volunteer management and capacity-building support, including meaningful and well-defined activities, supportive structures, incentives and recognition, and appropriate transition plans. Practitioners and community members should have the skills, tools and competencies to enable active and inclusive participation.

Gender mainstreaming is important to ensure gender equality and women's empowerment in CBA projects. It is important to note that gender refers not to sex or biological characteristics, but rather to the highly varied social and cultural constructs within communities and nations. Religion and culture often influence gender roles and may preclude or hinder certain community members' participation. As such, social inclusion activities are vital to ensuring that all members have a voice and an active role in the project, regardless of age, gender and physical or intellectual abilities. Properly managed, volunteering can enhance social inclusion and gender mainstreaming.¹²

Generally, it is harder to involve women and girls in volunteerism due to their household and family duties. In some cultures and religions, the segregation of men and women could be the reason for women and girls' inability to engage in



As a fundamental condition for project concept approval, community participation in CBA projects must be verifiable and should commence at the initial project concept development stage, which assesses the adaptation needs of the target community and how it plans to participate in resilience-building work.

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12 United Nations Volunteers, 2011. *State of the World's Volunteerism Report*, Chapter 5, Bonn, Germany.

community activities. In these and other sensitive contexts, activities that facilitate gender mainstreaming and social inclusion should be conceptualized and delivered in a culturally sensitive, community-appropriate manner, which is only possible after understanding target community challenges, needs and social issues and being able to demonstrate the added value of such activities.

For example, CBA Morocco projects hosted project meetings in women's homes as a culturally sensitive solution that respected the cultural norms of the separation of men and women in meetings and men's mistrust of all-women associations. As a result, male project participants were impressed when witnessing the contributions, progress and professionalism of their female colleagues and have become more supportive of women's roles in CBA Morocco projects as a consequence (see Example 25).

In an entirely different cultural context, Bolivian communities have reported a substantial increase in women's leadership in the last five years, linking it to women's volunteering in pilot CBA projects. In Guatemala and Niger, CBA projects have similarly enhanced women's confidence and freedom of expression; now women take the floor in CBA meetings, assume representative roles and volunteer for responsibilities more than ever before.

Effective recruitment, management and retention of participants require a thorough understanding of a given situation and community member motivations. There was once a perception that the poorer the community, the less time its members have to volunteer due to livelihood-earning and family obligations; however, research findings suggest otherwise. For example, a five-country study of service and volunteering in Southern Africa found that volunteers were mainly poor women and older persons.¹³ CBA volunteers across countries highlighted a common commitment to common work for common goals, motivated to contribute to the future of their families and communities. Participatory monitoring and evaluation processes that allow reflection on these contributions and their impacts can strengthen motivations.


At the same time, it is notable that community project participants often expect some type of immediate remuneration. Gestures that express recognition of volunteer efforts, including small incentives or visits by CBA staff and local officials, are appreciated and can go a long way in a community project. Training opportunities, while promoting participation, can also enhance skills and strengthen the effectiveness of such participation. In Bolivia, Namibia, Niger and Morocco, high illiteracy had posed a serious unanticipated challenge to CBA projects during their pilot period. This led to linguistic training that enabled proper project

13 Leila Patel, 2007. 'Research Partnerships Build the Service Field in Africa', cross-national study on civic service and volunteering in Southern Africa, South Africa: *The Social Work Practitioner-Researcher, Journal of Social Development in Africa*.

management, overcoming the challenge. Important from an overall development perspective, target communities benefitted from such training well beyond the CBA project, as they gained the opportunity to learn the essential and previously unattainable skills of reading, writing and counting. Such multiplier efforts can greatly enhance community member engagement in projects and the sustainability of their results.

Example 25

Incentives for local volunteers

Volunteerism is not only the 'taking' of free labour and services from local communities and individuals. CBA projects also need to offer incentives for volunteers. This is especially the case in poor communities, where refreshments and other such small tokens are much appreciated and are a way to catalyse local involvement. 

Ms. Anne France Wittmann, United Nations Volunteer, SPA CBA Morocco

5.1.1 SUSTAINING MOMENTUM IN COMMUNITY PARTICIPATION AND MOBILIZATION

When the time between the project formulation and implementation stages is too long, local support often decreases, requiring grantee and CBA project staff to re-motivate community members. Additionally, volunteerism is easier to sustain when the project is able to use or organize local community structures, including youth groups, women's groups and committees. In particular, CBA practitioners in Bolivia, Jamaica, Guatemala, Morocco and Niger have noted that the involvement of such groups increased throughout the project. Engaging district community workers, where available, could provide assistance to the grantee and project staff. Holding regular meetings and offering incentives and trainings has also been reported to help maintain motivation. Some communities also engaged in non-project-related volunteering, which helped maintain momentum, especially during slow times. The presence of grantee and CBA project staff has helped host communities realize the continuous importance of the CBA project, leading to increased local participation.

Some CBA pilot communities did not fully benefit from community participation, because they lacked strong volunteer management and participation competencies. It is important that practitioners and grantees share tools, training, lessons and best practices that can help strengthen and sustain community participation. In SPA CBA pilot projects, UN Volunteers (in most cases, national volunteers) were the main community mobilization drivers in the seven countries where UNV acted as a partner in CBA projects. The SPA CBA project methodology in community

mobilization is addressed in detail in *Volunteer contributions to community-based adaptation (CBA) to climate change: A handbook, training guide, and work plan to support, promote, and measure volunteering in CBA projects*.¹⁴ The handbook offers various approaches to encourage community volunteerism at different stages of CBA projects. Practitioners are encouraged to review UNV methodology to understand community-based adaptation and volunteerism and how to apply the latter to the former. UNV can provide additional materials and support on volunteer management, participatory tools, and civic engagement and advocacy.

It is also noteworthy that tools such as participatory videos or photo stories can be used to document community concerns, challenges, needs and the various activities and events taking place throughout the CBA project cycle. Providing training workshops on participatory media expands community member skill sets and provides them with new resources to use after project conclusion.

5.1.2 COMMUNITY MOBILIZATION METHODS FOR CBA

Community mobilization methods are context-specific and depend largely on available channels for awareness raising, local CBA needs and culture. Community leaders and local authorities provide good entry points, as they understand their peers and enjoy a mutually comfortable relationship. Securing these influencers' support in awareness-raising initiatives can provide legitimacy to the project and help solicit community support and participation.

Similarly, facilitator appropriateness is key when mobilizing marginalized groups. Traditionally, using existing community mechanisms, such as self-help groups, is a proven way to successfully engage a targeted group in training sessions. Building on existing structures is also a good way to sustain community participation beyond project conclusion. In SPA CBA projects, for example, women's savings groups were used as entry points to secure women's participation in resilience-building community activities. One example involved women generating income by sharing a portion of their proceeds in a local seed bank, with a longer-term goal of selling their shares in local markets as a means to save for the future. This necessitated a kind of future banking that helped sustain CBA projects.

The SPA CBA project experience has yielded several examples that illustrate community involvement. For example:

- In Jamaica, community work is institutionalized and well organized. The local government has social and rural authorities that work with and mobilize communities. CBA projects collaborated with rural districts to save for the

14 UNV, September 2010.

Left: Students from Onamulunga School in Namibia watch as soil is prepared for conservation tillage. Right: Onamulunga School students learn to use drip irrigation, apply fertilizer and thin vegetable seedlings.



future, helping sustain the target communities and projects. CBA Jamaica staff also found it useful to combine some projects with compatible ongoing Small Grants Programme initiatives, piggy-backing on SGP-organized community mobilization.

- In CBA Kazakhstan, local authorities participated in all stages of the project, as working with specific villages on any community-level project required government authorization. Some projects also had land allotment issues that only local authorities could resolve, which required project staff and government officials to maintain a close working relationship and engage some formal legal processes.
- CBA Morocco focused largely on secluded oasis communities. In communities led by traditional and religious authorities, CBA teams worked to engage such leaders in the project from the beginning. In addition, CBA Morocco used local stores and mosques to make announcements that informed community members of training workshops and promoted participation. It was somewhat more challenging to reach women and secure their participation, and CBA Morocco project staff found that word-of-mouth recommendations helped gain local acceptance and recruit volunteers.
- CBA Namibia required professional community mobilization support, partnering with a South African consultancy firm Hand in Hand. The resulting increase in community participation strengthened local CBA projects and assisted in their replication and scaling up (see Example 26).

In conclusion, community mobilization often requires considerable work and staff time to ensure a fully inclusive process in planning and implementing projects. Apart from technical needs and other implementation challenges, it is important to make provisions for the possibility of delays.

Example 26

Use of professional community mobilizers

CBA Namibia engaged Hand in Hand, a professional community mobilizing organization from South Africa. Mobilization efforts used the Namibian local support-group model, which was originally employed in the country's liberation fight and has since become a means of community organization towards self-improvement. One such self-help group dug a fish catchment pond that provided food and income for its village.

Ms. Marie Johansson, SPA CBA Namibia

5.2 VULNERABILITY REDUCTION ASSESSMENT METHODOLOGY

Along with conventional grantee monitoring and reporting, SPA CBA projects encouraged participatory community project monitoring, such as that facilitated by the vulnerability reduction assessment methodology and workshops. In order to measure progress, SPA CBA projects periodically assessed the reduction of vulnerability to climate change among target communities and their supporting ecosystems. The indicators for such assessments were addressed when developing CBA country programme strategies, with baseline indicators included in the full CBA project proposal.

The number of indicator measurements to be taken during a project depends on the vulnerability assessment tool used; it should ensure that project length and implementation context influence the interpretation of the information provided by stakeholders. For VRA information to be reliable, at least three assessments should be taken: at the beginning to establish a baseline, mid-way through project implementation and at project conclusion. All these information points, which can also be translated into numbers, can be compared at any time during project implementation and possibly even beyond, to measure post-project impacts.

Vulnerability assessment consultations should be preceded by awareness-raising activities in the target community, to establish consensus and awareness of climate change, variability, developing trends and projections. Such activities provide a foundation for VRA discussions, establishing a baseline of vulnerability and contextualizing its assessment. Fostering community participation and ownership throughout the project, these discussions typically begin at the first VRA stakeholder consultation, smoothly transitioning to measurement of the VRA indicators thereafter.

A community meeting is the most common entry point for introducing the concept of vulnerability reduction assessment and announcing the first workshop. VRA workshops should be positioned as idea-sharing opportunities that offer a venue to discuss the project and how it relates to the changes community members experience in their environment. In countries where climate change impacts have been intense and long term—such as Bangladesh, Jamaica and the Small Island Developing States—communities are highly aware of and knowledgeable about CBA. In these countries, the government has trained local and village authorities in climate change CBA, and communities and their leaders are often able to propose local solutions for a CBA project to refine and technically improve it (see Example 27). Most CBA Bangladesh projects, for example, used local know-how, and target communities were also familiar with self-monitoring and self-assessment.

VRA activities are highly context-dependent and should involve a good cross-section of the community (men, women, children and the elderly), taking into account differing levels of education, literacy and pre-existing knowledge of climate and its impact history. However, the outcome of VRA consultations should, in all cases, reflect local stakeholders' clear common understanding of the current and future climate risks the CBA project seeks to address.

Vulnerability reduction assessment in SPA CBA pilots was based on and informed by the threat reduction assessment methodology frequently applied in biodiversity support programmes,¹⁵ several UNFCCC stakeholder-based adaptation methodologies and the UNDP Adaptation Policy Framework guidelines. Assessments used four indicators¹⁶ (see Guide 14) and formed the cornerstone of CBA project monitoring and evaluation activities.

Example 27

Vulnerability reduction assessment process in Samoa adapts to local culture for participatory monitoring and evaluation

In CBA Samoa, the VRA workshops elicited participation of community groups that were not traditionally involved in decision-making. The workshop was conducted through small group sessions. The male community leaders and decision-makers (Matai) would meet among themselves only, as they do not sit with women or men from less socially distinctive groups. To respect community culture and traditions, the VRA workshop was held in parallel sessions of an all-women's group, a Matai group, a group of men without high social rank and a youth group. This enabled representatives from all segments of society to participate in CBA decision-making.

15 Richard Margoluis and Nick Salafsky. *Is Our Project Succeeding: A Guide to Threat Reduction Assessment for Conservation?* Biodiversity Support Programme, Washington, DC.

16 SPA CBA project document, 2008

Guide 14

Sample VRA methodology

Example questions for a community facing increasing climate change-induced drought risks

Adaptation Policy Framework step	VRA indicator	VRA question
Assessing current vulnerability	Vulnerability of livelihood/welfare to existing climate change and/or climate variability	Rate the impact of drought on your livelihood.
Assessing future climate risks	Vulnerability of livelihood/welfare to developing climate change risks	Rate the impact to your livelihood if droughts became twice as frequent.
Formulating an adaptation strategy	Magnitude of barriers to adaptation (institutional, policy, technological, financial, etc.)	Rate how effective you think this project will be in reducing your risks from increasing droughts.
Continuing the adaptation process	Ability and willingness of the community to sustain the project intervention	Rate your confidence that the project will continue to reduce drought risks after the project period.

Source: Lim 2005.

This participatory impact assessment had five objectives, including:

- Measure community perceptions of climate change risk and adaptive capacity;
- Assist with project development and management, and use monitoring and evaluation tools to ensure projects respond to community priorities;
- Measure impact vis-à-vis long-term climate change adaptation, not just impact on present development challenges;
- Capture qualitative information that can be shared with other practitioners and facilitate adaptive project management; and
- Form a system of common evaluation of indicators that can allow the aggregation of results across a diverse portfolio of CBA projects.

5.2.1 VULNERABILITY REDUCTION ASSESSMENT IN SPA CBA PROJECTS

VRA steps and processes vary from project to project, and those detailed here are specific to the SPA CBA pilot project. Therefore, practitioners are encouraged to customize the methodology according to their needs. In particular, countries with CBA projects should be able to develop their own specific process guides. For example, *A Guide to the Vulnerability Reduction Assessment* was developed for the

SPA CBA project.¹⁷ The same publication was customized for other similar projects implemented by UNDP through the Small Grants Programme in Cambodia under the Mekong Asia and Pacific CBA project.¹⁸

The SPA CBA project-specific vulnerability reduction assessment processes and steps include:

- 1) **Methodology composed of four indicators** based on the UNDP Adaptation Policy Framework;
- 2) **Indicators translated into four questions** tailored to the community and posed in community meetings;
- 3) **VRA meetings** held three or four times over the course of the project:
 - At the beginning of the project (baseline establishment);
 - Once or twice during the course of project implementation; and
 - Upon conclusion of the project;
- 4) **VRA scores drawn from baseline information, mid-term assessment and final assessment**, ranging from 1 (highly vulnerable) to 5 (not vulnerable/resilient). Simple averages were used to determine the impact of specific climatic phenomena on community members. VRA meetings yielded quantitative and qualitative data for aggregating and assessing programmatic impact, guiding project design and management, and capturing lessons learned; and
- 5) **Key quantitative output of percentage change** from the baseline score to the final score.

5.2.2 VRA METHODOLOGY TRAINING

Project inception workshops are held to harmonize, discuss and validate project documents, agree on stakeholder responsibilities and provide training in methodologies. A similar process should be repeated at every stakeholder level. For example, if a CBA programme or project is established at the global level, where initial inception workshops involve global and national stakeholders, similar inception workshops should be held at regional, national and local level to ensure that all stakeholders are included in decision-making and training processes.

Insufficient focus on methodologies (and other central project issues) at inception workshops necessitates separate training for national project staff. This is a very important element, as the national CBA unit has to train grantees, who, in turn, train local community members. Training should also include volunteer management

17 Droesch, C.A. et al., 2008. *A Guide to the Vulnerability Reduction Assessment*. UNDP Community-Based Adaptation Programme.

18 GEF Small Grants Programme, Cambodia, 2012. *Guidebook for Practitioners: Implementing the Vulnerability Reduction Assessment*. Cambodia.

and participatory tools for empowerment and inclusion. Additionally, the national CBA unit should train other project partners who provide monitoring and evaluation support and who, at times, are the sole VRA workshop facilitators or co-facilitators. For example, in CBA Morocco projects, the United Nations Volunteer (project staff) provided VRA training to US Peace Corps volunteers (project partners), which was tremendously helpful in a country with a big portfolio, as it yielded additional workshop facilitators and helped bridge human resource gaps.

Training and capacity-building support should be provided as often as necessary. In all SPA CBA pilot countries, CBA staff facilitated detailed training sessions for grantee organizations to boost their ability to customize the VRA methodology to target communities and project sites. Project staff guided grantees through VRA questions and elaborated the link between climate change and adaptation. Most local CBOs were acutely aware of the challenges faced by the target communities, hence when complex scientific issues were explained in lay terms, grantees and local participants quickly understood the context and applied the knowledge. As local project participants become more familiar with methodologies, VRA workshops tend to shift focus to project progress, results and implementation issues. As a good practice, however, project teams noted the need to separate VRA-related discussions from other operational matters during sessions, so that participants stay focused on VRA.

Figure 9 fully illustrates the VRA process.

5.2.3 USING OTHER COMMUNITY PROJECT MONITORING SYSTEMS TO COMPLEMENT VRA

In some SPA CBA pilots, other community monitoring tools were used alongside VRA. For example, CBA Samoa used the United Nations Educational, Scientific and Cultural Organization's Sandwatch methodology¹⁹ to complement VRA information, while CBA Jamaica integrated a participatory monitoring and evaluation methodology developed by the Social Development Commission (a community-organization agency positioned in the Jamaica Ministry of Local Government and Community Development).²⁰

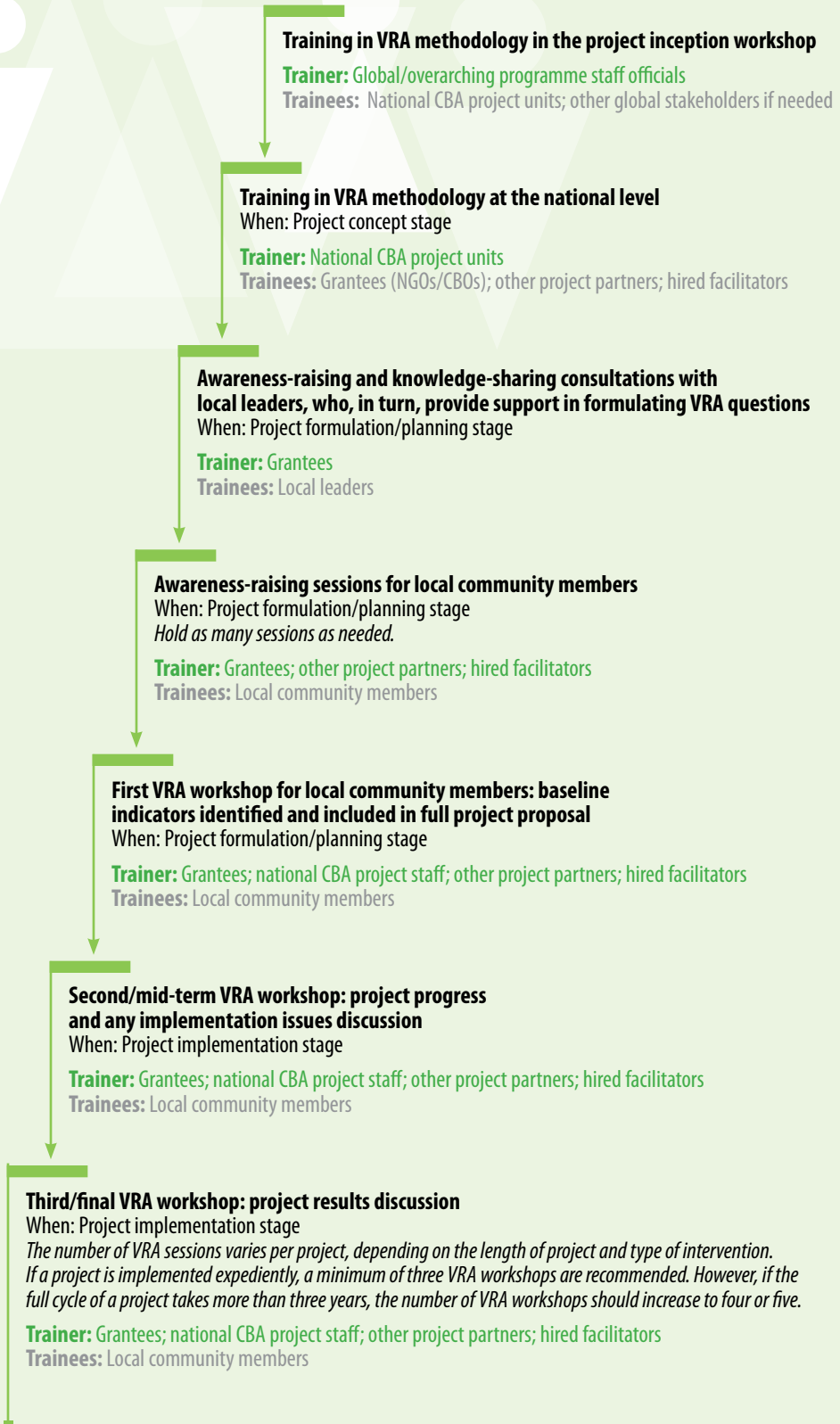
Additional alternative methods for community-based data collection may also be used. For example, CBA Bangladesh projects utilized rapid assessment household surveys, which can provide statistically more accurate information than VRA, if sampling is done correctly. In the case of CBA Bangladesh, these surveys also provided a means to promote upcoming VRA workshops.

19 Cambers, G., and F. Ghina, 2005. F. *Introduction to Sandwatch: An educational tool for sustainable development*. UNESCO. Available at: www.unesdoc.unesco.org/images/0014/001427/142786e.pdf.

20 For more information, visit the SDC website: www.sdc.gov.jm/services/research.

Figure 9

VRA training process from global to local



CBA practitioners are encouraged to collect local climate data from varied sources. Since there are few local government climate data banks in developing countries, CBA projects need to seek local agriculture department data and national meteorology data, if available. Similarly, data available from the Intergovernmental Panel on Climate Change, UNFCCC and national communiqués could be used by CBA projects to validate community inputs.

5.2.4 TAILORING VRA TO PROJECT NEEDS

All SPA CBA project pilots closely followed the VRA methodology, customizing and simplifying it in some cases to fit the level of awareness and capacity. VRA workshops were designed to fit specific communities and project sites. The four VRA questions that guided workshops were intentionally kept flexible to enable each project to shape them according to the identified set of climate risks in a given project area.

Grantee-conducted baseline studies were used as background material for VRA workshops. In the SPA CBA pilot project, national CBA units and grantees met with local leaders and stakeholders before VRA workshops to explain the methodology, ensure a consensus on conducting the workshop and agree on its content. Local leaders assisted in formulating VRA questions to make them relevant and appropriate to local cultural norms, as well as understandable to members of target communities. Local leader involvement attracted workshop participants and hence strengthened project support and community mobilization.

On average, VRA workshops in the SPA CBA project took two to three hours each to conduct. However, some projects extended workshop time to as many as six hours, when it became apparent that additional awareness-raising activities were needed. This can occur when the target community is largely unfamiliar with climate change adaptation, monitoring and other critical aspects of CBA projects—or when pre-workshop awareness-raising activities are not adequate.

The SPA CBA experience also suggested that keeping VRA training sessions and workshops under an hour can help sustain the audience's attention; it is easier to convene subsequent sessions if the first one receives good feedback and does not take too much time from participants. Workshop duration was generally shorter for the second and the third VRA sessions due to growing community familiarity with the process and the scoring system. In addition, the number of participants tended to be higher in the second and third workshops as a result of community mobilization activities, highlighting that VRA workshop participation provide a good indication of the degree of community involvement in a project.

5.2.5 WORKSHOP PARTICIPANTS AND FACILITATORS

Since the VRA methodology is perception-based, it is important that the same participants attend all VRA consultations to ensure authenticity of deliberations and consistency of field scores. Having the same facilitators conduct VRA sessions is another important element.

VRA sessions are catalysts for community participation and must be efficiently facilitated. To be able to conduct a meaningful VRA session, a facilitator needs to be able to convey scientific information in a simple way, and to relate new information to local knowledge. For example, in CBA Kazakhstan projects focusing on land degradation, land degradation specialists from local governmental research centres led the VRA sessions.

A facilitator needs not only expert knowledge of the climate change issue the CBA project intends to address, but also an awareness of community dynamics. A good facilitator is someone who has patience and is able to control and direct a group. Motivation, a good sense of humour and time management skills are also important. If a person with both climate change and workshop facilitation expertise is not available, workshops can employ two facilitators, with one providing technical support and the other facilitating discussion and consensus-building. In some country pilots, United Nations Volunteers acted as main workshop facilitators or co-facilitators. In other projects, grantees engaged climate change experts. District community workers also make a good fit for co-facilitating VRA workshops, as such workers contribute an in-depth understanding of local communities' social dynamics.

In addition to facilitation skills, workshop leaders should make use of or develop tools that foster group participation and promote understanding of often-complex and scientific material. Most VRA workshops in SPA CBA pilots used community participation tools such as seasonal calendars, role-playing, decision trees and hazard maps. In some cases, facilitators enhanced workshops with PowerPoint and other presentations. For example, a CBA Namibia grantee developed a community information toolkit to guide VRA sessions by explaining climate change issues specific to Namibia and the project's geographic region. Namibia's Ministry of Environment adapted and replicated the toolkit for other regions in the country.

5.2.6 VRA IMPLEMENTATION CHALLENGES

Because VRA is a contextual methodology, it is not possible to compile an all-inclusive list of potential implementation challenges. However, the SPA CBA project experience has highlighted several broad categories of such challenges, and examples of how these were addressed in the field can help practitioners customize methodologies for future CBA projects (see Figure 10).

Figure 10

VRA implementation challenges

Capacity-building for VRA facilitators. Personnel—including national CBA teams, grantee organization workforce and staff of project partners providing monitoring and evaluation support—need comprehensive training. Every new staff member must be trained. When facilitators are not properly trained, VRA workshops are not efficient, and the data and information produced may be deemed inaccurate.

Community facilitation requires a honed professional skill set that includes an in-depth understanding of target communities, knowledge and effective use of participatory tools, excellent interpersonal and public speaking abilities, an aptitude for diplomacy and consensus-building, and the creativity, leadership skills and initiative to, for example, establish a local volunteer group for CBA project work. A seasoned facilitator can often energize a community in one workshop in a way that less experienced presenters will not be able to accomplish over the entire duration of a project.

Facilitator consistency. Whenever possible, the same facilitators should lead all VRA workshops for a specific project.

There is evidence that facilitator consistency efficiently negotiates the learning curve for community members new to CBA, yields higher levels of participant engagement during workshops and similarly higher levels of overall community engagement. Facilitator consistency can also help ensure consistency of results, from data collection to the interpretation of workshop outcome.

VRA scoring system. SPA CBA pilots used a numerical—1 to 5—VRA scale, where 1 represented lowest resilience (most vulnerability) and 5 represented highest resilience (least vulnerability). Some staff and stakeholders had difficulty understanding the meaning of minimum and maximum points, resulting in poorly phrased VRA questions or an inability to answer them.

To avoid confusion and obtain valid VRA scores, it is important to ensure that CBA teams receive adequate training. The VRA process becomes ineffective if its facilitators have difficulty formulating the questions that should lead to gathering quantitative evidence of project progress and results.

Training the trainers may not be sufficient. In communities with low literacy rates and lacking climate or adaptation knowledge, it may be beneficial to simplify the scoring system itself—for example, though the use of visual aids. CBA Morocco asked stakeholders to answer questions by drawing smiley, neutral or sad faces instead using numbers for scoring.

 See Figure 11 for an H-format from a typical CBA Morocco VRA session.

5.3 TIPS FOR COMMUNITY MOBILIZATION AND PARTICIPATORY PROCESSES

- **Consider the cultural context when planning community meetings,** including VRA workshops. Community participation, feedback and openness to sharing information are culturally dependent. Participatory methodologies should be chosen to accommodate national and local cultures.

Lack of community awareness of CBA project issues. Awareness-raising sessions must precede VRA workshops. When such capacity-building did not happen in SPA CBA pilots, participants did not understand the nature of the workshop. In such cases, staff had to introduce project-related concepts and rationale prior to performing the actual vulnerability reduction assessment. Combining what should have been two sessions into one resulted in meetings lasting longer than six hours. Many such events run longer than scheduled; however, it is important to remember that workshops should be kept to one to two hours to avoid audience fatigue and to be courteous to participants that have other obligations.

Awareness-raising meetings before each VRA session should be provided to establish consensus and awareness about the character of established and ongoing climate variability, developing climate trends, and future projections. Since baseline measurements are obtained during developing full project proposals, grantees should possess a good understanding of the rationale and concepts of VRA workshops and other CBA issues. Strong initial capacity-building and awareness-raising leads to more efficient sessions during later project phases.

 [See Section 5.2.2.](#)

Minorities under-represented in VRA workshops. This can be hard to spot at the start of a project, particularly if the grantee is not from the project area. Including community leaders as representatives is helpful but not necessarily enough. Project implementers and the CBA team should be on the lookout for 'forgotten' or marginalized groups.

CBA projects target all community members regardless of age, gender and physical or intellectual abilities. Marginalized groups tend to be more vulnerable to the effects of climate change and therefore must be sought out and included, if not given a special focus.

Maintaining the same group of participants in all three workshops.

Practitioners understand that having the same participants in all VRA sessions is the logical way to conduct assessments. However, some participants can become unavailable for the scheduled meetings. Having different participants for each VRA workshop can offer an opportunity to widen the scope of community participation, but the scoring will be more unreliable and not easy to compare across time.

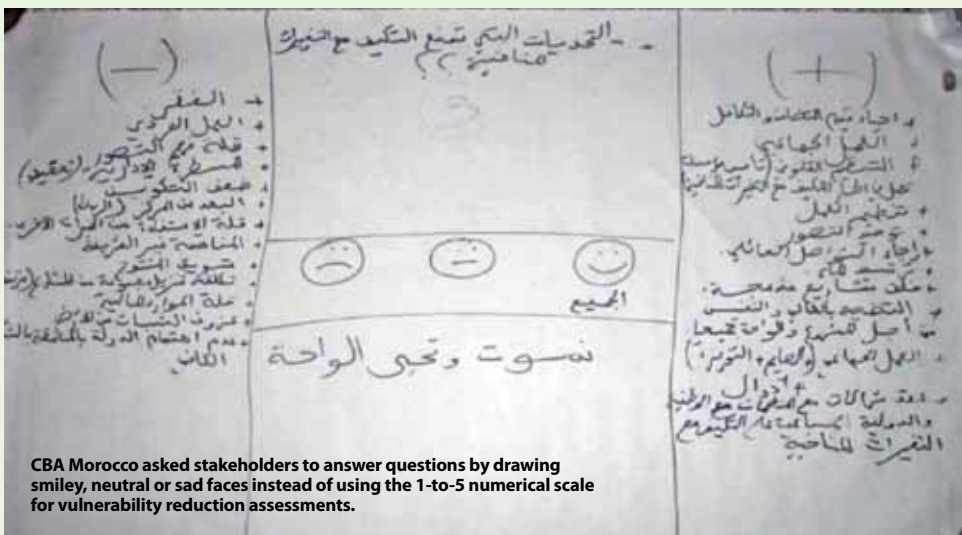
Since VRA is a perception-based methodology, it is important that the same participants attend all the VRA consultations to ensure consistency and authenticity of the scores. Ensuring this is clear to community members during early awareness-raising and VRA-training sessions can facilitate continuous participant attendance, as can specific incentives.

 [See Section 5.2.5.](#)

- **Determine the most advantageous community entry points for VRA facilitators.** Ask questions such as: How can the project mobilize communities to participate effectively? What motivates people to participate? How can the project engage the highest number of community members? How can the project empower women? How can it facilitate women becoming decision-makers from the start of the project without alienating powerful men in the community?
- **Bring on expert community mobilizers,** if possible. It is difficult to successfully mobilize communities and maintain a high level of engagement over the life of a project, and particularly so without specific prior training. Budget for expert assistance, and work to build local capacities for organizing and managing volunteers and participatory groups.
- **Be prepared to modify project implementation strategies based on community feedback,** which should be taken seriously to ensure that objectives remain feasible.
- **Broker disputes diplomatically.** Participatory workshops are designed to allow different groups to voice their opinions. Almost inevitably, there will be some divergent views and disagreements that need to be resolved.
- **Strive for the highest possible stakeholder participation in all project-related gatherings.** Community members and other local stakeholders provide invaluable information regarding local power dynamics, social networks and value systems. All of this information is crucial for project success.
- **Encourage participatory monitoring of project progress.** The very act of participation builds ownership, and positive results validate prior efforts, helping sustain momentum and encouraging future contributions.

Figure 11

CBA Morocco uses visuals to conform with target communities' literacy level



CBA Morocco asked stakeholders to answer questions by drawing smiley, neutral or sad faces instead of using the 1-to-5 numerical scale for vulnerability reduction assessments.

French drains added to agricultural plots in the Cam Tam commune, Viet Nam, help minimize agricultural soil erosion and saltwater intrusion caused by flash floods.



CHAPTER 6

CBA FINANCING AND POLICY ADVOCACY

Securing financial contributions, policy change and decision-making leverage are among the core mandates of development actors and the objectives of most development projects. As a relatively young area, CBA faces numerous challenges, from a lack of national recognition in some cases to the absence of relevant national policies and local capacities to advocate for change. In addition, models are still being developed as national and local CBA projects mature, and integrating co-financing alongside an institutional grant may have administrative needs and complexities.

This chapter briefly shares pilot SPA CBA countries' experience with fundraising and policy advocacy without aiming to provide specific or dispositive guidance on either, as numerous publications on both topics are readily available and easily adapted to the CBA space. It is, however, important to integrate both activities into CBA programme and project planning, as such outreach activities may require additional capacity-building for CBA national units and project teams.

6.1 CBA PROJECT CO-FINANCING AND COST-SHARING

As with all development interventions, practitioners are encouraged to explore and develop additional sources of funding and other support when planning CBA projects.

Grantees should seek co-financing through partnerships with relevant and interested stakeholders from governments, academic institutions, bilateral and multilateral donors, and other development actors in the public and private sectors. Securing local contributions—from local authorities, national NGOs or nationally active international actors—also has considerable non-monetary value, as it raises project visibility and increases local ownership.

In addition to funding, it is important for practitioners to identify potential linkages with donors and other actors or projects that include local climate change initiatives. Piggy-backing on other projects with similar initiatives can provide access to expertise, technical support and cost-sharing opportunities.

The SPA CBA project required a minimum of 1:1 co-financing in cash and in kind. Multiple pilots had successes in mobilizing funds and forming linkages with larger projects. For example, CBA Kazakhstan leveraged additional funds from UNDP Kazakhstan and secured funding from Coca Cola, Inc., whereby the grants for community-based climate change initiatives were provided through the UNDP country office. GEF, the primary SPA CBA funding agency, facilitated linking SPA CBA projects to larger GEF climate change projects operating in the same countries or geographic areas. CBA Morocco projects were built on existing projects implemented by the Small Grants Programme, UNDP Morocco and the


local government (see Chapter 3, Example 19). Bangladesh and Kazakhstan pilots relied on local NGOs for awareness-raising and capacity-building activities (see Chapter 3, Examples 16 and 17).

6.2 CBA POLICY ADVOCACY

A fundamental role of CBA national units and local projects being implemented in the same area is in articulating and testing emerging CBA policy issues, helping to define the CBA policy agenda. The best practices and lessons learned from CBA projects should be scaled up to influence local and national policy, or scaled out to be integrated into other sectors—for example, education.

Example 28

CBA Kazakhstan brokers first draft of national adaptation programme concept

CBA Kazakhstan was instrumental in brokering the 2010 National Adaptation Concept between UNDP and Kazakhstan's Ministry of Environment, taking the first step towards the development of a countrywide adaptation programme. The document detailed local SPA CBA initiatives as model community-based activities for the country. 

Ms. Katerina Yushenko, National Coordinator, SPA CBA Kazakhstan

Involving local and national influencers, from thought leaders to political bodies and members of the media, in CBA projects from the beginning offers a good entry point for policy discourse and influence. The key to successful campaigning for policy change is supplying stakeholders with updates on project outcomes and solutions developed—throughout the entire project cycle (see Example 28).

In addition to ongoing external communications for advocacy and awareness-raising, SPA CBA pilots used project sites as demonstration plots for national and local stakeholders such as policymakers, government officials, donors and potential donors. While results of such activities varied among countries and projects, overall SPA CBA advocacy results have been impressive in reach and scope, particularly in light of the relative youth of many pilots and the amount of time achieving policy implementation or change can take.

Because of the unique nature of CBA work, the communities chosen for SPA CBA pilot projects are quite literally at the forefront of climate change, disaster and

other environmental and ecological hazards. As such, it is not surprising that the target communities are often the first to devise and implement uniquely local solutions. By supporting such solutions with grant funding, knowledge sharing and policy advocacy, SPA CBA pilots in several countries have magnified project results beyond the community level. Examples include:

- Bangladesh farmer communities have long used short-duration rice crops that enabled harvesting before the monsoon season. The CBA pilot has technically improved rice crop planting methods, refining and testing them before presenting the results to the Ministry of Environment, which will use them as national prototypes for similar ecosystems.
- In SPA CBA Kazakhstan, a rangeland management project was able to execute an official 'land use' agreement with the local authorities.
- CBA Morocco projects collaborated with local planning authorities to replicate and scale up land degradation solutions.

Because community projects aim to influence local and national decision makers and policies, it is critical to provide CBA practitioners with training in advocacy tools and practices. Improved advocacy capacities can also give voice to and promote accountability for CBA.

In Morocco, holding workshops in women's homes ensured their engagement and inclusion in decision-making while being sensitive to the culture's separation of men and women in meetings.



LOOKING FORWARD FROM THE SPA CBA EXPERIENCE

The SPA CBA pilot project was designed primarily to address adaptation needs of communities and ecosystems, and not necessarily to address adaptation at a landscape level. For example, limited attention was given to landscape-level baseline assessments with indicators that could provide a comprehensive approach to monitoring a large number of linked projects; SPA CBA monitoring was conceptualized and remained at the level of individual community projects. Though projects validated the risk factors they were designed to address against nationally available data drawn from climate-related government planning processes and action plans, most of such risk factors were identified through community-based stakeholder consultations and, as such, were location- and project-specific, resulting in a SPA CBA portfolio of stand-alone local initiatives that did not address climate change impacts across a wide geographic region or target landscape area.

Drawing on the Small Grants Programme's COMPACT and COMDEKS models, a future landscape governance approach that builds social and ecological resilience on a wide scale may contribute to more effective CBA programming.

The initial design stage of the SPA CBA project envisioned that community projects would target three agro-ecological or land-based 'archetypes'. For example, many projects in Africa addressed a dry and semi-arid agro-ecological mosaic landscape; Asia-Pacific projects tended towards coastal zone ecosystems, while projects in Latin America focused on mountain, flood zone and watershed ecosystems. Although many of these areas represent large landscapes, the majority of CBA projects are individual success stories that are not necessarily linked with one another. As a result, many of the successes described in this guide have yet to be replicated on a wider landscape scale.

Since mid-2013, adaptation discourse and project formulation has tended towards a more holistic approach linked to ecosystem health and community resilience. Future CBA projects are likely to establish a governance scheme aiming to generate sustainable livelihoods on a landscape scale. In particular, the growing donor focus on resilience seems to be challenging support to adaptation as a strategic priority for many funding organizations, with a corresponding emphasis on creating resilient landscapes and communities across wider geographic areas.

The GEF Small Grants Programme has considerable experience working at the landscape scale. Launched in 2000, the SGP Community Management of Protected Areas Conservation (COMPACT) programme seeks to demonstrate how community-based initiatives can significantly increase the effectiveness of biodiversity conservation in the co-management of globally significant protected areas by working to improve the livelihoods of local populations. The COMPACT landscape-level model—developed and validated over a 12-year period and

Left: In Morocco's Targmuiste oasis, drought-resilient forest seeds are germinated in a nursery prior to in-situ plantation. Right: The Targmuiste oasis system landscape has been eroded by intense but variable rainfall, high temperatures and droughts.



publicly reviewed in June 2013—provides small grants towards the shared governance of World Heritage sites, using a community-based approach that crosses national boundaries by uniting diverse project sites in a joint planning framework.²¹ Important innovations of the COMPACT approach also included the establishment of a local consultative body to review and assess small grants based on an intimate familiarity with and understanding of the target landscapes. Similarly, the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) Project, developed by UNDP and the Government of Japan and delivered through SGP in 20 countries, also adopts a landscape approach that addresses livelihoods, food security, climate change adaptation and governance through the provision of small grants.

Drawing on these SGP models, a future landscape governance approach that builds social and ecological resilience on a wide scale may contribute to more effective CBA programming. From the materials presented in this guide, the experience of local stakeholders in conducting vulnerability reduction assessments may be fruitfully aligned with broader landscape-scale planning processes (e.g. baseline assessments connected to defined outcome indicators) and regional decision-making systems based on shifting patterns of natural resource availability, connectivity and livelihood strategies at multiple scales.

21 See https://sgp.undp.org/index.php?option=com_content&view=article&id=103:compact&catid=45:about-us&Itemid=165#.VGPV7IWOWIY

A Guatemalan woman carries her child while tending to the community nursery, where adaptation activities focus on crop preservation amid erratic rainfall.



CONCLUSION

This guide offers a road map to any practitioner wanting to design, develop and implement a community-based adaptation project. The details of project cycle stages and activities, examples from the global GEF SPA CBA pilot implemented in 10 countries and recommendations for avoiding common pitfalls should make it easier to formulate project concepts and develop high-impact national level CBA strategies.

The guide is the result of years of information collection, extensive interviews with project staff, partners, volunteers and beneficiaries, and rigorous analysis of all such information. This process highlighted four observations that can serve as overarching guidance for developing CBA projects. These are:

1. **Community-based adaptation requires scientific evidence of local-level impacts of climate change, which, in most cases, can be verified only with climatic changes assessed at the national or regional level.** Most CBA projects will require expert input at the formulation and implementation stages to ensure that there is a correlation between the risks faced by communities and macro-level climate change impacts. Even when local risks can be traced to climate variability, there is a need to draw in data that demonstrates climate change at the macro level. For this reason, it is difficult for grantee organizations to obtain fully verified information, necessary data and technical capacity to design and implement CBA projects on a 'do-it-yourself' basis. A country-based technical advisory committee should validate and direct local CBA projects. While the checklists of things to do and not to do provided here will be excellent help in project planning and management, they cannot ensure scientific validity.

Communities in Viet Nam's coastal province of Bac Lieu integrated rice and shrimp cultivation.



2. **Community mobilization, a principal component of any CBA project, cannot be achieved by following a manual.** Most SPA CBA projects used seasoned environmental organizations, UN Volunteers, US Peace Corps staff and local community workers, all of whom had a broad range of experience working at the community level. Still, target communities were not easily persuaded to take part in projects or assume real ownership. Projects that used professional community mobilizers or adapted traditional community self-help mechanisms to project needs had the most success in mobilizing communities, as evidenced by their robust community participation rates. Capacity development in mobilization, volunteer recruitment, group workshop facilitation and use of participatory tools can improve community engagement and help sustain interest and momentum.
3. **CBA emphasizes behavioural change and the creation of systems and processes to strengthen local people’s resilience to climate change, including variability.** CBA projects need to capture the needs of the most under-represented and vulnerable, and to build their capacity. It is important to ensure that communities—particularly local women, but also the often-marginalized youth and the elderly—can sustainably manage and maintain CBA project results after project closure. SPA CBA pilots offer a wide range of examples of behavioural change and adaptive or resilience-building measures. Moroccan women’s work on CBA projects has improved their community standing. Bangladeshi farmers have adopted new agricultural techniques. Communities gained access to local markets for alternative income generation. While achievements vary, they highlight the necessity of an enabling environment for CBA work, including a financial and market structure that will sustain project achievements.
4. **Local and national advocacy for policy addressing climate change adaptation is one of the main objectives for most CBA projects.** Policy advocacy begins at the design stage of a project. The earlier the technical experts, policymakers, stakeholders and authorities become involved in the project, the easier it will be to influence decision-making and secure support for specific policy measures. Ongoing communications with various external stakeholders can also help formulate and test new policy measures.

CBA project planning and implementation are shifting to embrace adaptive management principles and landscape approaches, in which project planning will require clear connectivity, value addition and stakeholder contributions. Practitioners should be aware that communities think and plan holistically, and that isolated CBA projects within particular landscapes can enjoy sustainability only if they are well-embedded in landscape management strategies.

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ONLINE RESOURCES

National Communications to the UNFCCC

 unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php

National Adaptation Programmes of Action

 unfccc.int/adaptation/napas/items/4585.php

Intergovernmental Panel on Climate Change (IPCC) assessment reports
(information on climate change science, mitigation, impacts and adaptation)

 www.ipcc.ch

United Nations Development Programme (UNDP) and Oxford University
School of Geography and Environment country studies (climate observations
and multi-model projections for 52 developing countries)

 <http://country-profiles.geog.ox.ac.uk>

United Nations International Strategy for Disaster Reduction (UNISDR)
information on disaster trends and disaster risk reduction

 <http://www.unisdr.org>

World Resources Institute (WRI) EarthTrends fact sheets
(country-level statistics on climate and energy)

 <http://earthtrends.wri.org>

CBA FULL PROPOSAL TEMPLATE AND GUIDELINES

While the full CBA project proposal template that follows may appear complex and very detailed, it is designed for practitioners to customize according to the needs and objectives of the projects being planned. Most importantly, the capacities of the communities to use such a template will be an important consideration in designing a simplified version. However, it is important to ensure that any customized templates respect proper planning, identify climate risks to be addressed, elaborate how these risks will be reduced or eliminated by the proposed project, ensure monitoring of project progress towards meeting its objectives and goals, and provide opportunity for stakeholder feedback and response.

CBA PROPOSAL TEMPLATE

See guidelines following the template for instructions for completing this proposal.

PROPOSAL SUMMARY

Project Title: (should reflect nature of activities)

Project Site: (give exact location of project – region, village, etc.)

Proponent: (name of NGO/CBO, brief background information about the organization)

Project Objective: (state the objective of the project, from the approved concept)

Authorized Representative: (name and title of two or more people authorized to represent grantee in any transaction)

Cooperating Organizations: (name and contact information for project partners)

Start-Up Date: (target date for project commencement)

Project Period: (duration of project)

Total Project Cost: (total cost, including CBA funding and co-financing (in cash and in kind))

Amount Requested: (amount requested from CBA programme)

Brief Project Description: (to become publicly accessible on the CBA website on project approval; 1-2 paragraphs)

1.0 RATIONALE

1.1 Community/Ecosystem Context

1.2 Climate Context

1.3 Impacts Context

1.4 Project Approach

2.0 COMMUNITY OWNERSHIP

2.1 Project Formulation

2.2 Project Implementation

2.3 Phase-Out Mechanism, Sustainability

3.0 PROPONENT DESCRIPTION

3.1 ORGANIZATION'S BACKGROUND AND CAPACITY

4.0 PROJECT DESCRIPTION

4.1 OBJECTIVE, OUTCOMES, PLANNED OUTPUTS

Use the table format below or an outline format

Project Objective: Statement to reflect the overall aim that is to be achieved.	
Outcome 1.0: Component of the project that, if met, contributes to the Project Objective.	
	Output 1.1: An output that is to be developed to fulfil outcome 1.0.
	Output 1.2: Another output that fulfils outcome 1.0, but is different from output 1.1
Example Outcome 2.0: At least three communities earning income from Protected Area	
	Output 2.1 Training of tour guides

4.2 TIMETABLE

Prepare a simple and easy to understand table with timelines and activities.

(Sections 4.3 – 4.5 Approximately 1.5 Pages)

4.3 RISKS AND BARRIERS

4.4 MONITORING AND EVALUATION PLAN

4.4.1 INITIAL VRA ANALYSIS

Vulnerability Reduction Assessment Reporting Form	
Indicator 1	
Indicator 2	
Indicator 3	
Indicator 4	
VRA Score	(= average of above)

4.5 PROJECT MANAGEMENT

4.5.1 MANAGEMENT STRUCTURES

4.5.2 RELATIONSHIP AND RESPONSIBILITIES OF PROPONENT AND PROJECT PARTNERS

5.0 PROJECT COSTS AND OTHER SOURCES OF FUNDING

5.1 TOTAL PROJECT COST AND AMOUNT REQUESTED

6.0 EXHIBITS/ATTACHMENTS

6.1 MANDATORY

- a. Location map (Project Site). This may be a very rough sketch over a country map (may be the same map used in the project concept).
- b. Latest audited financial statements, if any, **OR** explanation of why no audited statement is available.
- c. Brief curriculum vitae or résumé of project manager/coordinator and person in charge of accounting for the funds. Letter from a partnering organization if one will assist in accounting for funds.
- d. Document/letter showing proof of approved co-financing.
- e. Photographs of community project development meeting and of the project area.

6.2 OPTIONAL

- a. Topical outline of training modules or other capacity-building activities
- b. Organizational Chart of NGO/CBO
- c. Other information you think would improve your proposal

CBA PROPOSAL GUIDELINES

The numbered guidelines below are instructions for the correspondingly numbered elements of the proposal template above. Please use them in the development of the full project concept.

1.1 COMMUNITY/ECOSYSTEM CONTEXT

Describe the target/beneficiary community and target ecosystems. Be sure to address all of the following issues, where relevant or applicable. Also, be sure to distinguish which elements of the community will be targeted (i.e., gender, livelihood or other groups that are particularly vulnerable).

- Number of people
- Relevant social dynamics: gender/age/ethnicity/livelihood group/class, etc.
- Ecosystem type
- Potential global environmental benefits (focal area, relevant species/resources, etc.)

Describe the relationship of the community with the target ecosystem, ecosystem services, (i.e., fresh water, storm protection, erosion control, fish habitat, ecotourism, etc.).

1.2 CLIMATE CONTEXT

Describe the climate of the region in which the target community is located. While this does not need to be very scientific, it should include the following elements:

- A brief description of the seasonality of the climate, giving approximate times of year for warm/cool or rainy/dry seasons.
- A brief description of when particular climate risks are most acute (e.g., September for hurricanes, July for drought, February for floods, etc.).
- A description of **baseline** climate risks (i.e., risks that do not stem from climate change). This should include cyclical climate hazards (i.e., events that recur every few years), such as floods and droughts related to ENSO or other phenomena, as well as other climate risks that are not associated with climate change.
- A description of **climate change projections** for the region and recent manifestations of that change, if applicable. This should be based on scientific assessments of climate change risks, where possible. This could be based on the CBA Country Programme Strategy – consult with the CBA national coordinator. It could also be based on other documents such as the national communication to the UNFCCC or the NAPA (where applicable).

1.3 IMPACT CONTEXT

Describe the impacts of the climate risks described above on the target ecosystem and on the community. This should be based on scientific assessments of climate change risks and likely impacts and can be based on assessments completed for the CPS. These should include:

- Impacts on critical ecosystems
- Impacts of ecosystem change on people's lives and livelihoods
- Distributional impacts (i.e., which segments of the population will be most affected and why?)
- Other important impacts

1.4 PROJECT APPROACH

Describe how the project will facilitate community adaptation to the phenomena described above. Keep in mind the following criteria:

- Reiterate the baseline threats to ecosystems/GEB.
- Reiterate the additional, climate change threats to ecosystems/GEB.
- Describe how the project will remove baseline pressures to ecosystems/GEB through co-financing (which should be 1:1).
- Describe how the project will make ecosystems/GEB resilient to climate change, including increasing climate variability.
- Describe how the project will benefit the community.
- Describe how the project will have potential for scaling up, replication and/or policy impact.
- Describe capacity constraints, awareness constraints and what will be done to address them.

A more detailed breakdown of the project's objective, outcomes and activities will be required in table form in Step 4.1.

2.1 PROJECT FORMULATION

Describe how the project was formulated in terms of the overall concept and of its components. Describe the roles of the proponent and the role of the community.

2.2 PROJECT IMPLEMENTATION

Describe how the community members will be engaged continuously throughout project implementation. Community participation is important, as it will help ensure that the project takes locally important factors into account, while helping to ensure continuity of project impacts after project conclusion.

2.3 PROJECT SUSTAINABILITY AND PHASE-OUT

Describe how the project will conclude and how project activities will be ultimately transferred to the local community. Describe how the impact will be sustainable (environmentally, financially, socially, and institutionally).

3.1 PROPONENT DESCRIPTION

Describe your organization's mission, history, membership, management, organizational structure and current programmes. Describe your experience working with the target community or with similar communities. Finally, discuss your experience and/or capacity in adaptation to climate change, including variability.

Indicate the organization's total annual budget and attach its last audited financial statement and an organizational budget, if applicable. Describe the financial system and procedures being used by the proponent/organization.

4.1 OBJECTIVE, OUTCOME, PLANNED OUTPUTS

Using the table format, restate the project objective from the approved concept (provide an explanation for any modification) and state what outcomes will be achieved to meet this objective and what outputs will support these outcomes.

All outcomes must:

- Be compatible with the SPA – they must be actions to increase the resilience of ecosystems to the impacts of climate change, thereby benefiting the communities that rely upon them.
- Address baseline GEB if they are supported entirely by co-financing.
- Be independently measurable.
- Clearly and directly support the objective.

Outputs should provide a clear picture of how you will go about achieving your outcomes.

4.2 TIMETABLE

Using a table, indicate when the various activities and tasks will be completed. The timetable should be realistic and activities should be coordinated to support one another.

4.3 RISKS AND BARRIERS

BARRIERS: Describe any barriers to implementation of project measures and how they will be removed. Differentiate between external barriers and internal barriers (for example: national policy barriers versus local awareness barriers). Describe how the project will remove capacity constraints from key adaptation activities.

RISKS: Beyond known barriers, projects may be subject to internal or external risks. These could include suboptimal performance of a new application of a technology or currency fluctuations that change the economics of a project. Describe potential risks that the project faces and how these risks will be managed.

4.4 MONITORING AND EVALUATION PLAN

This section will describe which indicators will be monitored and when they will be measured. It is divided between the VRA (adaptive capacity), the IAS (global environmental benefits) and Adaptation Indicators (quantitative assessments of climate change adaptation). For each section, describe when indicator measurements will be reported – in the first, second and/or final reporting periods. Note that continued funding will be contingent on M&E reporting.

VRA: Indicate when VRA meetings will be held over the course of the project and how they will relate to plans for attainment of specific project outcomes. For example, are meetings planned after the completion of certain project activities listed in the tables above?

IAS: Indicate *which* Impact Assessment System (IAS) indicators will be measured by the project – one or more indicators in one or more Global Environmental Benefit focal areas and one or more of the livelihood and empowerment indicators. Furthermore, indicate how the chosen indicators will be measured.

Keep in mind that all projects will be required to submit progress reports to access subsequent disbursements of project funds and that these reports will require measurement of IAS and VRA indicators. Indicate *when* these measurements will take place.

4.4.1 INITIAL VRA ANALYSIS

The VRA analysis is a key component of the project planning phase, and is reported in the project proposal.

Use the data recorded on the sides and bottom of the H-forms, as well as community discussions from the exercise to construct a narrative that describes issues and context raised by the meeting. Be sure to include:

- Composition of the meeting
- Common themes in the answers to the questions that make up the VRA
- Differences in perception between different sub-groups (eg: gender, livelihood type, etc)
- Other contextual information brought out by the VRA process

Also, be sure to record the scores given by the community to the questions, and record them in a table such as the one provided.

4.5 PROJECT MANAGEMENT

4.5.1 DESCRIBE THE MANAGEMENT STRUCTURES AND FUNCTIONS OF THE PROPONENT UNDER THIS PROJECT

Who will be responsible for executing project activities and who will that person be working with? Include the name of project manager/coordinator and attach brief resume/CV.

4.5.2 DESCRIBE THE RELATIONSHIP OF ANY PARTNERING ORGANIZATIONS, IF APPLICABLE

Include the responsibilities of each partner and how they will work together with proponent to achieve the project objective. Include technical assistance required and how it will be provided.

5.1 TOTAL PROJECT COST AND AMOUNT REQUESTED

Create a detailed budget for the whole of the project, indicating CBA funding and other sources of funding, including both cash and in-kind components. Note that the budget is an integral part of the project proposal, and forms part of the binding contract between your organization and the GEF. The following are a number of points to keep in mind when crafting the budget:

- CBA funding can only go to support outcomes that are compatible with the project document.
- Budgets may only include items directly relating to the outputs described in the proposal. Each budget line should be associated with an outcome and an output from the table in item 4.1.
- Budgeted costs must be realistic – neither too large nor too small to support project outputs. This should be based on adequate research and experience.
- The budget should include all costs associated with managing and administering project outputs within the respective budget lines for each output.
- Be sure to include the cost of monitoring and evaluation.
- “Indirect Costs” or administrative overhead are not funded by CBA projects and should not be part of the funding request.
- Remember that when you agree to accept CBA funds you are also agreeing to be accountable for how those funds are spent, and to make available all financial relevant records. These may be independently audited, and may become public information
- Be sure that the figures contained in the budget agree with those on the Proposal Cover Sheet and the text of the proposal itself.

6.1, 6.2 ATTACHMENTS

In addition to specifically requested and required information, attach anything that you believe would help strengthen or clarify your proposal.



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304 East 45th Street, 9th Floor, New York, NY 10019 USA

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