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**United Nations Development Programme  
Project Document template for Adaptation Planning / NAP (National Adaptation Plan) projects  
financed by the Green Climate Fund (GCF)**

11 March 2019

<b>Project title:</b> "Advancing the National Adaptation Plan Process in Benin"	
<b>Country:</b> Benin	
<b>Implementing Partner:</b> UNDP	<b>Management Arrangements:</b> Direct Implementation Modality (DIM)
<b>UNDAF/Country Programme Outcome:</b> "Output 3 of UNDAF programme: The State improves the management of its natural resources and related benefits as well as mechanisms for disaster management and commits to a green economy"	
<b>UNDP Strategic Plan Output:</b> 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis	
<b>UNDP Social and Environmental Screening Category:</b> EXEMPT	<b>UNDP Gender Marker for the project output:</b> 2
<b>Atlas Project ID (formerly Award ID):</b> 00117797	<b>Atlas Output ID (formerly Project ID):</b> 00114708
<b>UNDP-GEF PIMS ID number:</b> 6034	<b>GCF ID number:</b> BEN-RS-001
<b>Planned start date:</b> 1 <sup>st</sup> May 2019	<b>Planned end date:</b> 31 <sup>st</sup> October 2020
<b>PAC meeting date:</b> 22 <sup>nd</sup> March 2019	
<b>Brief project description:</b>	
<p>Benin is a key-shaped, north-south strip of land in West Africa and hosts a population of 10.9 million people. Bordering the Sahel in the North and the Atlantic Ocean in the south, the country has three major river basins that are the Niger, the Pendjari, and the coastal basin formed by the Ouémé, the Couffo and the Mono rivers. Its Human Development Index (HDI) ranks very low and the country's economic growth has experienced a slump since 2013, due to political unrest, unreliable access to energy and a decline in neighbouring Nigeria's economic</p>	



activity, on which Benin relies heavily<sup>1</sup>. Poverty increased from 36.2 percent in 2011 to 40.1 percent in 2015 and unemployment and underemployment rates remain high, affecting more than 50 percent of the work force. Agriculture still represents the main source of income for almost 70 percent of the workforce.

Benin was reported one of the world's most vulnerable countries to climate change (155<sup>th</sup> out of 181 countries) in 2018<sup>2</sup>. Temperatures are expected to rise by 2.6°C to 3.27°C by 2100, and changes in rainfall patterns and intensity will further exacerbate droughts and floods in the country<sup>3</sup>.

The country has made significant efforts to address climate change impacts on its development through the adoption of policies and implementation of projects. It has adopted a series of strategic documents that include the 2008 National Adaptation Programme of Action, the 2015 Nationally Determined Contribution, and the 2016-2025 Low-Emission Climate-Resilient Development Strategy. In addition, the Government of Benin has recognised the threat posed by climate change in its 2016-2021 Government Action Plan (*Plan d'Action Gouvernemental - PAG*) which outlines Benin's vision for a sustainable economic and social development. However, this awareness is not reflected in the priority actions of the PAG, thus demonstrating the lack of full integration of climate change into development planning.

Several barriers have also been identified in the 2016 initial Stocktaking Report<sup>4</sup> and subsequent consultations of stakeholders: the insufficient quality or absence of economic analyses and in-depth risks and vulnerability assessments in key PAG socio-economic target sectors, the limitations of climate change coordination mechanisms to facilitate mainstreaming and monitoring of CCA, the failure to align the M&E system for climate change with the National Statistical System; and the weak capacity of the National Environment and Climate Fund (FNEC) to support sustainable funding for CCA.

The project's objective is to facilitate the integration of climate change adaptation into development budgeting and planning processes, and to increase access to local and external funding. The proposed outcomes are complementary to other NAP-related initiatives and the contributions of each initiative will provide Benin with necessary information, capacities, mechanisms, and tools, to support medium and long-term adaptation planning.

The first outcome "**Economic and climate impacts are assessed and adaptation options prioritised for effective budgeting and planning**" will provide the economic and climate information needed to ensure the effective implementation of the PAG.

The second outcome "**Climate change adaptation mainstreaming into budgeting processes is facilitated**" will support the development and use of mechanisms and tools to facilitate CCA mainstreaming into budgeting.

The third and final outcome "**The National Environment Climate Fund (FNEC) is strengthened to attract public and private funding for effective adaptation planning**" will support government efforts to enhance the mobilisation of local, private and external funding for the implementation of the PAG and the financing of adaptation.

The project builds on other on-going initiatives that contribute to the National Adaptation Plan process.

<sup>1</sup> AfDB (2017). African Economic Outlook.

<sup>2</sup> As of January 2018: see <https://gain.nd.edu/our-work/country-index/>

<sup>3</sup> Government of Benin (2011). 2<sup>nd</sup> National Communication

<sup>4</sup> UNDP (2016). Stocktaking Report and Recommendations to Advance the NAP process in Benin





Project beneficiaries include Benin's Ministry of Living Environment and Sustainable Development (MCVDD), the Ministry of Planning and Development (MPD), the Ministry of Economic and Finance (MEF), the Commission of Economic Modelling of the impacts and Integration of Climate Change in the state general Budget (CMEICB), the National Environment and Climate Fund (FNEC), the regions and municipalities, civil society organisations and the private sector.

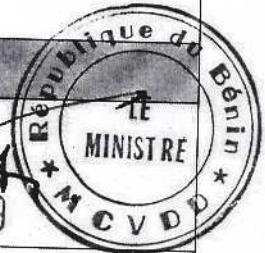
By focusing on mainstreaming CCA into long-term budgeting processes and by strengthening the capacities of institutions and of the National Environment and Climate Fund (FNEC), this project aims to be incremental and sustainable. With the inclusion of stakeholders' representatives of vulnerable populations, including women and indigenous people, it is designed to be inclusive and participatory. With the strong co-benefits and coordination with ongoing readiness projects in the country supported by the GCF, BMUB and GIZ.

**FINANCING PLAN**

GCF grant	USD 1,422,040.00
UNDP TRAC resources	N/A
Cash co-financing to be administered by UNDP	N/A
<b>(1) Total Budget administered by UNDP</b>	<b>USD 1,422,040.00</b>
<b>PARALLEL CO-FINANCING (all other co-financing (cash and in-kind) administered by other entities, non-cash co-financing administered by UNDP)</b>	
<b>(2) Total co-financing</b>	<b>N/A</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 1,422,040.00</b>

**SIGNATURES**

Signature: José Didier TONATO Minister of Sustainable Livelihood and Development	Agreed by Government	Date/Month/Year: 23 AVR 2019
Signature: Adama Bocar SOKO UNDP Resident Representative a.i	Agreed by UNDP as the Delivery Partner	Date/Month/Year: 23 AVR 2019





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## Development Challenge

### CONTEXT

1. Benin is a key-shaped, north-south strip of land in West Africa and hosts a population of 10.9 million people. Bordering the Sahel in the North and the Atlantic Ocean in the south, the country has three major river basins that are the Niger, the Pendjari, and the coastal basin formed by the Ouémé, the Couffo and the Mono rivers.
2. **Its Human Development Index (HDI) ranks very low: 167 out of 188 countries.**<sup>5</sup> Economic growth has experienced a slump since 2013, due to political unrest, unreliable access to energy and a decline in neighbouring Nigeria's economic activity, on which Benin relies heavily.<sup>6</sup> Benin's growth rate declined from 7.2 percent in 2013 to 4.0 percent in 2016<sup>7</sup>. Poverty increased from 36.2 percent in 2011 to 40.1 percent in 2015. Unemployment and underemployment remain high, affecting more than 50 percent of the work force. Women's economic activities are essentially concentrated in rural areas and in the informal sector. Agriculture represents the main source of income for almost 70 percent of the workforce, while accounting for 32 percent of the Gross Domestic Product.
3. **It was reported one the world's most vulnerable countries to the adverse effects of climate change (155 out of 181)**<sup>8</sup> on the 2018 Notre Dame Global Adaptation Initiative (ND Gain) country index. Climate scenarios predict an increase in temperatures of 2.6°C to 3.27°C by 2100. Drought, floods, and changes in rainfall patterns and intensity are the major climate risks faced by the country.<sup>9</sup> In the last three decades, these phenomena have resulted in substantial losses in the infrastructure, energy and forestry sectors. In Cotonou, the economic capital city, coastal erosion and sea level rise have led to a loss of more than 400 meters of shoreline, engulfing houses and damaging tourism infrastructure.<sup>10</sup>
4. **The 2016-2021 Action Plan of the Government of Benin (PAG)** was adopted in 2015 to steer Benin's economic and social development in a sustainable manner. It is the key operational development planning instrument at national level, and includes: i) consolidation of democracy, the rule of law and good governance; ii) the structural transformation of the economy; and iii) the improvement of the population's living conditions.<sup>11</sup> It is implemented through 45 flagship projects in nine sectors, under the supervision of the Analysis and Investigation Bureau (BAI). It is the main instrument for steering government action

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<sup>5</sup> UNDP (2016). Human Development Report.

<sup>6</sup> AfDB (2017). African Economic Outlook.

<sup>7</sup> World Bank (2018). World Development Indicators

<sup>8</sup> As of January 2018: see <https://gain.nd.edu/our-work/country-index/>

<sup>9</sup> Government of Benin (2011). 2<sup>nd</sup> National Communication.

<sup>10</sup> NAPA

<sup>11</sup> Further information on the PAG is presented in section 2.2. Environment issues are part of the PAG's 3<sup>rd</sup> pillar, under strategic axis 7 "balanced and sustainable development of the national space."



and planning ministerial activities. Key sectors for economic growth identified by the PAG include: tourism, agriculture, infrastructure, ICT, energy, water and social protection, which are all affected by climate change. Although it recognises the threat posed by climate change in its introduction, this awareness is not reflected in its flagship projects, thus hindering the implementation of integrated climate change adaptation actions.

5. The **Government budgetary process** follows a three-year economic plan outlined in the Multi-annual Budgetary and Economic Planning Document (*Document de Programmation Budgétaire et Economique Pluriannuel* - DPBEP). At sectoral level, the budgeting framework is the Multi-annual Expenditure Programming Document (*Document de Programmation Pluriannuelle des Dépenses* - DPPD). The DPPD is the central document of the draft Finance Act at sectoral level. Alongside line ministries, the preparation of these documents is led by the Planning and Prospective Directorate (DPP) and the Directorate-General of Administration and Finance (DGAF). There are also environment units positioned within the monitoring and evaluation (M&E) unit of the DPP of each ministry. At the local level, the Multi-annual Investment Programme (PIP) and the Annual Investment Plan (PAI) are the main budget instruments.
6. The **decentralisation process**, initiated by the Government in 1999, is also a cornerstone of the PAG. Several priority projects focus on supporting this process, especially through the construction of infrastructure and the provision of institutional support to Benin's 12 departments and 77 municipalities. Municipalities' responsibilities include: local development, planning, housing and town planning, environment, hygiene and sanitation. They formulate their 5-year Communal Development Plans (*Plan Communal de Développement* – PCD), ensuring their consistency with national policies. These are accompanied by a multi-annual investment programme, which is translated every year into an Annual Investment Plan (PAI). The *Municipalities Development Support Fund* (FADEC) is the national instrument for financing local development. It is currently endowed by the national budget and resources from development partners.
7. Benin's economic development model is based on a strong partnership with the **private sector**. Private sector financing is expected to cover 61 percent of the PAG's expected domestic funding. To do so, the Government adopted a regulatory framework for public-private partnership operations and tax measures for private investment in 2016.
8. There are strong structures in place to steer Benin toward a more sustainable development. However, these frameworks are not entirely operational and do not fully integrate climate change considerations. Line ministries have limited ownership of the DPBEP and the DPPD, and limited ability to integrate climate change into planning. The municipalities have been granted more autonomy, but lack capacity to fully develop their PCD and PAI.

#### CLIMATE CHANGE POLICIES AND STRATEGIES:

9. The environment and climate change framework consists of several documents, which are relevant for climate change adaptation planning and reflect the government's commitment to tackle climate change.
10. The **National Adaptation Programme of Action (NAPA - 2008)** prioritises six vulnerable sectors: agriculture (livestock and fishing), forestry, water resources, coastal zones, human health, and energy. Out of Benin's eight agro-ecological zones the geographical areas that are most exposed to climate risks are:
  1. Extreme North-Benin (Zone I)
  2. West-Atacora/North-Donga (Zone IV)
  3. Cotton zone of the Centre (Zone V)
  4. Fisheries zone (Zone VIII).

While the NAPA facilitated the elaboration of a coordination and implementation framework for climate change adaptation activities, the project did not facilitate the integration of CCA in national and sectoral planning. Limited emphasis was placed on political and institutional reforms, which are required to sustain the implementation of identified adaptation options.

11. Benin's **Nationally Determined Contribution (NDC)** features adaptation prominently. Aligned with the NAPA, the NDC aims to reduce socio-economic vulnerability. NDC adaptation measures focus on strengthening climate risk forecasts and early warning systems to improve food security and water resources availability; and enhance the protection of coastal zones from sea-level rise. The NDC also addresses adaptation financing at the local level by strengthening local governance on planning and budgeting processes.
12. A ten-year **Low-Emission Climate-Resilient Development Strategy (LECRD 2016-2025)** was formulated in 2016. It is structured around three axes: adaptation, climate risks reduction and mitigation. They are broken down into three pillars and twelve sub-programmes. The three pillars are:
  1. Strengthening the resilience of local communities and the agricultural production systems
  2. Reducing the anthropogenic greenhouse gas emissions and improving the carbon sequestration potential
  3. Reducing climate risks

The LECRD targets the agriculture (livestock and fishing), forestry, water resources, infrastructure/human settlement (coastal zones), human health and energy sectors. Pillars 1 and 3 of the LECRD are aligned with the NDC and NAPA. The strategy integrates a programme approach, as recommended by the NDC.

#### GOVERNANCE AND INSTITUTIONAL MECHANISMS FOR CLIMATE CHANGE COORDINATION AND INTEGRATION:



13. The 2003 **National Committee on Climate Change** (*Comité National sur les Changements Climatiques - CNCC*) is responsible for climate change coordination. The CNCC is a multi-disciplinary body supporting the implementation of the UNFCCC in Benin. It advises the government on scientific, technological and other issues related to climate change, bringing together representatives of ministries, private sector and civil society. The assessment of the CNCC, carried out under the “Green Climate Fund Readiness Programme”<sup>12</sup> demonstrated gaps in coordination, representation and effectiveness. The assessment proposes improving inclusiveness, effectiveness and leadership by mainstreaming climate change. Support is currently provided to the CNCC by the German Cooperation Agency (GIZ) (see Annex 2). The 2017 Climate Public Expenditure and Institutional Review recommends that the CNCC be fully recognized by a piece of legislation. This could take different forms which will be decided in cooperation with law makers during project implementation. The official legal status would strengthen the CNCC’s responsibilities and implementation power to steer the integration process, especially with regards to budgets.
  
14. The **Ministry of Living Environment and Sustainable Development** (MCVDD) plays a crucial role for the day-to-day management and implementation of climate change-related initiatives. The National Designated Authority to the GCF and the UNFCCC Focal Point are housed under this ministry. However, it is not a multi-sectoral institution and has a limited mandate and capacity to oversee the integration of climate change into all development planning and policies.
  
15. In 2014, Benin set up a **Commission for the Economic Modelling of Climate Impacts** (*Commission de Modélisation Economique des Impacts du Climat - CMEICB*). The CMEICB has two organisational bodies, namely: i) the Policy Board – a decision-making body composed of high-level representatives from sectoral ministries and chaired by the Minister of State for Planning and Development and, ii) the Technical Committee – the operational body of the Commission, composed of representatives from the ministries of Planning and Finance. The Commission is entrusted with developing a national economic model that integrates sectoral climate change impact assessments. Initial studies on the modelling of economic impacts of climate change in the sectors of agriculture (corn), health and water resources were undertaken, with the support from the “Strengthening climate information and EWS in Africa” project (further details are provided under “other complementary interventions”). However, the CMEICB requires additional technical support to be able to fulfil its role, and for these economic costs to be integrated into all budgets.
  
16. Environmental taxes and public investment funds help sustain a **National Environment Fund (FNE)**. The FNE was accredited to the Adaptation Fund in 2011. In 2013, the mandate of the National Environment Fund (FNE) was extended into a National Environment and Climate Fund (FNEC). This shift demonstrates the need to address challenges such as: management, process, human resources and resource mobilisation capacities. The FNEC 2017-2021 strategic plan was elaborated and validated in 2017. It includes a series of new taxes to expand sources of local funding. The accreditation of the FNEC to the GCF is one of the priority actions for resource mobilisation under the PAG and support was initiated under the GCF Readiness Programme, but has not been completed yet.

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<sup>12</sup> UNDP-UN Environment (2016), Evaluation du Comité National Changements Climatiques.

## PROGRESS IN CLIMATE CHANGE MAINSTREAMING AND ADAPTATION PLANNING AND BUDGETING:

17. Efforts to integrate climate change adaptation are noted in the sectoral planning for agriculture, forestry, water resources and urban settlements.
1. Benin focused its Strategic Plan for the Development of the Agricultural Sector (PSDSA, 2017-2025) and the National Agricultural Investment and Food and Nutrition Security Plan (PNIASAN, 2017-2021) on “Building resilience to climate change and improving the food and nutrition security of vulnerable populations”. Additionally, a 2018-2022 National Strategy for the Development of Climate-Smart Agriculture and Action Plan (SNDAIC) was validated in November 2017.
2. In the forestry sector, the 2025 policy vision as defined in the National Forest Policy (PFN) is "A Green Benin where forest, wildlife and natural resources are managed in a sustainable manner to meet the ecological, economic and socio-cultural satisfaction of populations, contributing to poverty alleviation, food security and the fight against climate change."
3. The 2016-2020 National Integrated Water Resources Management Plan (PANGIRE) is built around climate considerations.
4. The Ministry of Urban Planning, Habitat and Sanitation includes a specific objective on the protection of the Benin coast against erosion (Specific Objective 3) and institutional support under Specific Objective 4 in its 2016-2018 programme, and under the Urban Management Support Programme (PAGU). A mainstreaming guideline was also elaborated under the Green Climate Fund Readiness Programme<sup>13</sup>. This document details the different steps to mainstream CCA into sector and local planning.
5. To assess opportunities and constraints for CCA integration within the national and sub-national budget allocation and expenditure process, Benin carried out a **Climate Public Expenditure and Institutional Review (CPEIR)**. It covers the following sectors: agriculture and food security, energy, water resources, health, environment and coastal zone, disaster risks, and transportation infrastructures. It demonstrated that, between 2010 and 2014, 31 percent of investment expenditures were related to climate change. At sectoral level, the share of investment expenditure in climate change is decreasing, from around 30 percent in 2010 to 11 percent in 2014. The review proposes the preparation of a three-year Climate Change Expenditure Programming Document (*Document de Programmation Triennal des Dépenses sur les Changements Climatiques - DPTD-CC*). The integration into policies at the sector level is therefore well underway, and NAP support will complement these mainstreaming efforts by focusing on budgeting.
6. At the local level, the territorial approach to climate change has made significant progress. Now in its third iteration, the **Local Development Plan (PDC)** guidelines integrate climate change adaptation. This is a major step forward. However, while several local communities have been exposed to adaptation mainstreaming into PDCs, most still need to be sensitised and supported on this topic.

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<sup>13</sup> Gov. Of Benin (2017), Guide méthodologique d'intégration des changements climatiques dans les documents de planification et de budgétisation au plan national et local



## SUPPORT TO THE NAP PROCESS AND RELATED INITIATIVES:

7. Benin established a core NAP team under the Ministry of Environment in 2011 to internalise the NAP guidelines, based on the UNFCCC Conference of Parties Decision 5/CP17. In March 2013, the NAP core team participated in a LEG regional training workshop on adaptation for Francophone LDCs. In August 2013, the national process was launched through a workshop, and an initial roadmap that described steps, deadlines and responsibilities was formulated. The consultation outcomes were presented to the Council of Ministers in April 2014. Two key initiatives have since started to support the advancement of the process. The GCF NAP support project will complement and build on these interventions.
  
8. In March 2016, the implementation of the National Adaptation Plan started with the launch of the UNDP and UN Environment's 2016-2017 **Green Climate Fund Readiness Programme (GCFRP)**, with financial support from the Federal Republic of Germany through the Ministry of Environment and Nuclear Safety (BMU). The programme focuses on two groups of preparatory activities: i) building and strengthening the institutional capacity of national entities with a focus on direct access; ii) assisting in preparing climate change investment strategies, programmes and projects with active participation of the private sector. The programme supported the following activities:
  1. Elaboration of Climate Public Expenditures and Institutional Review (CPEIR)<sup>14</sup> for agriculture and food security, energy, water resources, health, environment and coastal zone, disaster risks, and transportation infrastructures
  2. Assessment of the National Environment and Climate Fund (FNEC) and initial recommendations for capacity building
  3. Assessment of the National Committee on Climate Change<sup>15</sup>
  4. Guidelines for the integration of climate change into national and local planning and budgeting documents.
  
9. In August 2016, the German cooperation agency, GIZ, launched its NAP support to Benin through the project, "**Science-based support for national Adaptation Plan (NAP) processes in francophone LDCs of Sub-Saharan Africa.**" The project covers the agriculture, health and water sectors. It supports the following activities: a) inventory of available scientific information and status of CCA integration into national policies and strategies; b) identification of CCA entry points in planning and budgeting processes; c) technical capacity building for potential NAP actors; and d) stocktaking of existing scientific information on climate risks, impacts, vulnerability and adaptation. In 2018, the project plans: e) To support to the Benin National Development Plan process; f) Trainings on M&E CCA; and f) Risks and vulnerability assessments. (see Table 1).

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<sup>14</sup> UNDP-UN Environment (2017), Elaboration d'une revue des dépenses publiques et institutionnelles sur les changements climatiques au Bénin.

<sup>15</sup> UNDP-UN Environment (2016), Evaluation du Comité National sur les changements climatiques.

10. The integration of the three workplans (GCFRP, GIZ and GCF/UNDP) is an opportunity to optimise financial resources and to advance the formulation of the National Adaptation Plan of Benin. Discussions have taken place between programmes. In December 2016, a field mission was undertaken by the National Adaptation Plan Global Support Programme of UNDP and UN Environment, and further coordination was agreed upon with the GCF Readiness Programme and GIZ. A matrix on the complementarity of NAP support initiatives in Benin is presented in Annex I.

## Strategy

11. Benin's main challenge related to adaptation planning is the limited technical expertise to ensure integration of CCA mainstreaming into budgeting and planning processes. This proposed project will facilitate the **integration of climate change adaptation into development planning and budgeting processes, and increase access to local and external funding**. The theory of change illustrates the gaps and barriers in the existing coordination mechanism, plans and policies, and how each of the three outcomes of the proposed project contributes to the project objective and addresses the following barriers:
  1. Economic modeling of climate change impacts on agriculture, health and water sector have been conducted by the CMEICB. However, rigorous evaluation and understanding of the impact and modeling of economic responses are lacking due to the absence of relevant expertise at local level. These initial studies on the three sectors should therefore be improved, and other major sectors impacted by climate change should also be covered (infrastructure, energy, and living environment).
  2. Thus, the CMEICB needs to build its capacity to develop a strong sectoral, or a fully integrated economic model (general equilibrium model), as prioritised by the Government.
  3. This shortcoming in the field of economic modeling explains the failure to integrate such economic costs in budgets.
12. **There is insufficient government expertise in economic and financial modelling to prepare adequate costing that are required to integrate CCA into national and sectoral budgets:**
  1. Economic modeling of climate change impacts on agriculture, health and water sector have been conducted by the CMEICB. However, rigorous evaluation and understanding of the impact and modeling of economic responses are lacking due to the absence of relevant expertise at local level. These initial studies on the three sectors should therefore be improved, and other major sectors impacted by climate change should also be covered (infrastructure, energy, and living environment).
  2. Thus, the CMEICB needs to build its capacity to develop a strong sectoral, or a fully integrated economic model (general equilibrium model), as prioritised by the Government.
  3. This shortcoming in the field of economic modeling explains the failure to integrate such economic costs in budgets.
13. **Limited in-depth climate risks and vulnerability assessments in the sectors of infrastructure and urban planning, energy and forestry, hinder planning and budgeting of the PAG priority actions:**
  1. Climate risks and vulnerability assessments conducted by the GIZ NAP support initiative only cover agriculture, health and water resources.
  2. The NAPA energy project will develop the parameters and indicators for climate risks and vulnerabilities assessments, and will therefore need to be complemented by the undertaking of these assessments. This will inform policy processes on energy-related issues, in particular the construction of hydroelectric plants in the South (Adjarala).



3. No risk and vulnerability assessment has been conducted for the forestry or agroforestry, infrastructure and urban planning sectors, which are key PAG priorities.
  4. Methodologies should be harmonised and include local expertise to allow for the replication of those exercises.
14. **There is no standardised means to integrate and monitor progress towards CCA mainstreaming into budgeting processes and inform existing instruments (DPBEP, DPDD, PAI):**
1. The CPEIR and the assessment of the CNCC revealed that the CNCC does not play a role in budget preparation due to its limited abilities in this area. The assessments suggested to strengthen the CNCC's capacities to enable guidance and monitoring of adaptation budgeting for line ministries. They also recommended the strengthening of the institutional role of the Directorate-General for Economic Affairs (DGAE), the Directorate-General of Budget (DGB) and the Directorate General of Planning and Public Investment Monitoring (DGPSIP) on climate change. The budget nomenclature does not currently allow for the identification of climate change and gender related expenditures through the existing coding system.
  2. As a result, adaptation is not sufficiently integrated into the Multiannual Budgetary and Economic Programming Document (DPBEP) and the multi-annual expenditure programming document (DPPD). The 2016-2018 DPBEP presents climate change as a major transversal axis of economic policy, but does not include actions to combat the adverse effects of climate change. The same applies to the 2016-2018 DPDD in the sector of agriculture, where climate change is recognised as a threat, but the performance framework of the agriculture development programme, associated to the DPDD, does not include major adaptation actions.
  3. At the local level, challenges remain to integrate climate change adaptation into the Annual Investment Plan (PAI); strengthen municipalities' capacity on resource mobilisation, project management, M&E processes, and knowledge management. Additionally, the National Assembly and the Economic and Social Council – key actors of the budgeting process, are not considered adaptation stakeholders. Therefore, they have not benefitted from capacity building activities to date.
  4. **The monitoring of climate change efforts is not aligned with the National Statistical System:<sup>16</sup>**
    1. The knowledge sharing platform established under the Green Climate Fund Readiness Programme (GCFRP) is a directory of projects. It needs to be reorganised, strengthened and expanded to serve as a key information platform for sectoral and local planning, and monitoring of adaptation actions progress.
  5. **The National Environment and Climate Fund (FNEC) is not sufficiently operational to support CCA sustainable financing:**
    1. The CPEIR demonstrated that Benin had not been able to mobilise the necessary financial resources to ensure the implementation of climate change related policies and plans over the past decade. However, the existence of the National Environment and Climate Fund (FNEC)

<sup>16</sup> <https://www.insae-bj.org/publications/nos-bases-de-donnees>

provides Benin with an opportunity to ensure the coordination and coherence of domestic and external investments on adaptation. This requires the alignment of the Fund's governance and management with international standards. Ongoing efforts are undertaken to support the FNEC, through the UNDP-UNEP Green Climate Fund Readiness Programme which will end in May 2017, and GIZ for the accreditation of the Adaptation Fund and the Green Climate Fund.

2. Additional support would be needed to target other sources of funding from domestic, bilateral, multilateral, regional donors, international NGOs, private companies and foundations to expand FNEC's resources. In this regard, the extension of environmental taxes and the establishment of partnerships with the private sector, as identified in the FNEC 2017-2021 strategic plan, could significantly advance climate change financing, contributing to the PAG economic development model, based primarily on public-private partnerships.
6. The project's theory of change is built on these challenges, with the view of complementing existing processes and ongoing initiatives. The proposed project's outcomes and sub-outcomes identified as solutions include:
1. **Outcome 1: Economic and climate impacts are assessed, and adaptation options prioritised for effective budgeting and planning**
    1. An economic assessment tool informing budgeting processes is operational
    2. Climate risks and vulnerabilities assessment are conducted in the urban planning and infrastructure, energy and forestry sectors
    3. Adaptation options are prioritised for the urban planning and infrastructure, forestry and energy sectors, and compiled as part of the NAP
  2. **Outcome 2: Climate change adaptation mainstreaming into budgeting processes is facilitated**
    1. The tracking of climate change adaptation interventions and budget expenditures are strengthened through budget tracking tools and an enhanced information platform
    2. Climate Change budgeting guidelines are developed and CCA is integrated into multiannual and annual budgets in pilot ministries and municipalities
    3. Decision makers' capacities are strengthened to influence budgetary processes at the sectoral and local level, for CCA mainstreaming
  3. **Outcome 3: The National Environment and Climate Fund (FNEC) is strengthened to attract public and private funding for effective adaptation planning**
    1. A framework for fiscal incentives is created to expand FNEC's resources
    2. The enabling environment for private sector in CCA is strengthened.
  4. The proposed project will be aligned with the NDC's objective of reducing vulnerability to the impacts of climate change and ecosystem resilience. Target sectors are also aligned with the NAPA's and PAG's most vulnerable sectors, including infrastructure and urban planning, energy and forestry.

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17 UNDP-UN Environment (2016) Renforcement des capacités du FNEC-Recommandations initiales.



5. The NAP support project prioritises PAG intervention zones identified as the most vulnerable to climate change impacts: *Djougou-Péhunco-Kérou-Banikoara zone* for urban planning and infrastructure, the *Adjarala* for the hydroelectric plant, and the *Tanguieta zone* in the park area of Pendjari for the forestry sector. GIZ will be the co-planner for these activities, under the coordination of the Directorate General of Environment and Climate (DGEC) and the Analysis and Investigation Bureau (BAI). These institutions manage the PAG and NAP implementation, ensuring consistency between the two projects (geographic, thematic and target actors) and coordination between the partners and other relevant projects and activities funded or implemented by other development partners. During the implementation of the proposed project, gender-specific needs will be accounted for, including the data collection approach and capacity development activities.
  
6. The support of the GIZ initiative covers agriculture, health and water sectors, and the Third National Communication project covers the water, health and tourism sectors. Activities proposed by the project will fill existing information and capacity development gaps in infrastructure and urban planning, energy and forestry, in close collaboration with the related and complementary initiatives described above. The outputs of the proposed project will contribute to Benin's NAP process supporting CCA mainstreaming into budgeting processes and expanding local resources dedicated to adaptation actions.
  
7. Thus, through an integrated approach as highlighted above, the project will strengthen climate change adaptation integration into development planning and budgeting in Benin and provide a guiding framework for relevant stakeholders in country to allocate the appropriate amounts of resources to the adaptation options most suited to their context.
  
8. The project will be implemented with extensive stakeholder consultations, studies, and assessments to foster national and provincial ownership and embedment into existing processes so as to ensure the sustainability of its outcomes. The strategy is derived from an extensive and detailed analysis of barriers and results, in a theory of change (described above) and presented in a graphical manner below.

Figure 1: Theory of Change diagram



#### Results and Partnerships

9. This proposed project will facilitate the **integration of climate change adaptation into development budgeting and planning processes, and increase access to local and external funding.**
10. The proposed activities are complementary to other NAP-related initiatives. The contributions of each initiative will provide Benin with necessary information, capacities, mechanisms, and tools, to support medium and long-term adaptation planning.

#### **Outcome 1: Economic and climate impacts are assessed, and adaptation options prioritised for effective budgeting and planning**

11. This outcome will provide the economic and climate information needed to ensure the effective implementation of the PAG. This will be achieved through the development of sectoral, and/or an



integrated model of the economic impacts of climate change both at sectoral level and economy-wide), targeting the PAG priority sectors. Assessment of risks and vulnerabilities of key priority sectors will also be conducted to complement existing information. Capacities on the use of these specific tools will be strengthened.

12. To evaluate potential impacts and predict economic responses to climate change, economic models will be developed. Depending on data availability, a computable general equilibrium<sup>18</sup> (CGE) model will be developed under **sub-outcome 1.1 “An economic assessment tool informing budgeting processes is operational”**. Sectoral results will contribute to a general equilibrium model, which will be used to estimate economy-wide impacts on national welfare. This activity will be instrumental in providing appropriate tools to influence PAG and inform annual budgeting and sectoral allocations. Target sectors are the PAG priority sectors that are considered as the most vulnerable sectors to climate change including agriculture, infrastructure, energy, forestry and water resources. To ensure that economic models can be continuously used, technical capacities of key institutions will be strengthened on the use of these models. This activity will be implemented in collaboration with the CMEICB, the National Institute of Statistics and Economic Analysis (INSAE), research institutions (INRAB, CRHOB, Labo Climatology, etc), Universities of Parakou and Abomey Calavi, and the Institute of Mathematics and Physical Sciences.
  
13. Under **sub-outcome 1.2, “Climate risks and vulnerabilities assessments are conducted in urban planning and infrastructure, energy and forestry”**, risk and vulnerability analyses of infrastructure and urban planning, forestry and energy sectors will be conducted to support PAG implementation. The analyses will be implemented in close collaboration with GIZ and the 3rd national communication, the Directorate-General of Urban Development, Directorate of Energy and Directorate General of Water Forestry and Hunting (DGEFC). They will focus on the PAG zones uncovered by ongoing NAP support initiatives and National Communications:
  1. Un Djougou-Péhunco-Kérou-Banikoara: support urban planning and infrastructure;
  2. the Adjarala zone: support the construction of the Adjarala hydroelectric plant, and
  3. the Tanguieta zone in the park area of Pendjari: vulnerability assessment of the forestry sector with a focus on PAG agroforestry and arboriculture activities.
  
4. Additionally, to facilitate the regular monitoring of the identified vulnerabilities, the project will provide trainings to academic and research institutions, NGOs, and line ministries, on vulnerability assessment methodologies.
  
5. Adaptation measures, in response to climate variability and extremes, will be prioritised in three sectors under **sub-outcome 1.3, “Adaptation options are prioritised for the urban planning and infrastructure, forestry and energy sectors, and compiled as part of the NAP drafting”**. This activity will contribute to the development of the NAP document by the GIZ, by focusing on the sectors of urban planning and infrastructure, forestry, and energy. Following the identification of adaptation measures (activity 1.2.1), a prioritisation exercise will be carried out, based on their potential contribution to Benin’s sustainable socioeconomic development. This will stem from the PAG and sectoral strategies, and will be based on

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<sup>18</sup> Computable general equilibrium models are a class of economic models used to predict the reaction of a country to a policy, technology or other external factor changes, based on economic data.



their costs, effectiveness and efficiency. This activity will build on activity 1.1.1. Quantitative and qualitative criteria will be used and may include: economic efficiency, co-benefits, feasibility, gender differentiated impacts, and consistency with national, sectoral and local priorities. The prioritisation method or combination of methods to be used will be previously agreed by stakeholders, based on capacities and data availability. This activity builds on activity 1.2.1, and is complementary to GIZ work in agriculture, health and water resources.

## **Outcome 2: CCA mainstreaming into budgeting processes is facilitated**

6. This outcome will be undertaken through the development of budgeting guidelines, based on the CPEIR study elaborated under the Green Climate Fund Readiness Programme (GCFRP) project, and based on the economic models developed of activity 1.1.1. The existing coordinating mechanism, the CNCC, will be strengthened to play a leadership role in the development of these guidelines, in close collaboration with other strategic partners, such as the Ministry of Finance and Budget, Ministry of Planning, civil society and municipalities.
7. Under **sub-outcome 2.1 “The tracking of climate change adaptation interventions and budget expenditures are strengthened through budget tracking tools and an enhanced information platform”**, the project will support the CNCC and the DGEC in developing a tracking and budget coding tool to monitor CCA mainstreaming into budgeting. The tool will then be used by the planning units of sectoral ministries and municipalities, which are members of the CNCC, to report back to the CNCC on a yearly basis. In addition, the project will also expand the knowledge sharing web-based platform established by the Green Climate Fund Readiness Programme (GCFRP), to serve as a learning tool on climate change adaptation, and climate change budgeting monitoring. Simplified graphical information, thematic representations and results of projects will be part of the platform. It will be linked to other information systems, including the francophone version of the AdaptationCommunity.net web-based platform of the GIZ.
8. **Sub-outcome 2.2, “Climate Change budgeting guidelines are developed and CCA is integrated into multiannual and annual budgets in pilot ministries and municipalities”**, will develop two important climate change budgeting guidelines aligned with the national budgeting process and agenda. These are the Triennial Climate Change Expenditure Programming guidelines (DPTD-CC) for the sectoral level, and the climate change annual investment plan guide (PAI-CC) for the local level. These guidelines will be piloted in 3 regions considered as PAG priorities under the Directorate General for Planning, and in close cooperation with the CNCC and sectoral ministries. Following the development of the DPTD-CC, and in order to get buy-in from all parties involved in the budgeting process, trainings will be organised on the use of the DPTD-CC for the following institutions: the Planning and Prospective Directorates, and the Directorate-General of Administration and Finance (DGAF) of sectoral ministries, the Ministry of Planning and Development and the Ministry of Economy and Finance, in particular the Directorate-General of Development Policies (DGPD), the Directorate-General of Planning and Public Investments Monitoring (DGSIP), the Directorate-General of Budget (DGB), and the Directorate-General for Economic Affairs (DGAE). PAG priority sectors will be the main targets. The development of the DPTD-CC will be participatory and integrated into the traditional process of financial law, to inform the different levels of arbitration and ensure better consideration of issues related to climate change. A second set of activities



will focus on developing specific guidelines on annual investment plans related to climate change (PAI-CC) in partnership with the FADeC and the DGB, and piloted into 3 communes (zones of intervention of activity 1.2.1 on vulnerability assessments). The PAI-CC will take root in the communal development plans (PCD), and will identify and include ministerial programming and budgeting actions to be implemented by the municipalities. The level of PAI-CC integration into the three 2019 communal investment plans, and the execution of budget, will be reviewed during the project second phase.

9. **Sub-outcome 2.3, “Decision makers’ capacities are strengthened to influence budgetary processes at the sectoral and local level, for CCA mainstreaming”**, will engage with policy makers and civil society as key social actors to achieve budgeting changes within the broader development context of Benin. The National Assembly, Economic and Social Council, Ministries of Finance and Planning, and civil society organisations are critical to the process of budgeting adaptation and its sustainability. The parliamentarians sitting on specialised commissions (finance, rural development, sustainable development, etc.) and members of environmental action networks within the National Assembly, and the Economic and Social Council, will be specifically targeted. They will be engaged in the review of the Climate Change law drafted under the “Green Climate Fund Readiness Programme”. In addition, the project will support the formulation of guidelines on the climate change annual investment plan (PAI-CC). It will also train actors involved in the planning and budgeting processes at the local level on these guidelines, as well as on resource mobilisation, project management, M&E and knowledge management. The technical capacities gained during the trainings need to be embedded and used in an appropriate manner.

### **Outcome 3: The FNEC is strengthened to attract public and private funding for effective adaptation planning**

10. This outcome will support the Government’s efforts to enhance the mobilisation of local, private and external funding for the implementation of the PAG and the financing of adaptation. The National Environment and Climate Fund (FNEC) will be supported to identify new sources of funding, and to establish the foundations of a new partnership with the private sector.
11. **Sub-outcome 3.1, “A framework for fiscal incentives is created to expand FNEC’s resources”**, will support the implementation of the FNEC’s strategic plan to establish local environment fiscal measures for the funding of climate change actions, and to get buy-in from the Government to adopt these measures. It will identify innovative taxes, and will support their adoption, by building strong alliances with civil society and decision makers. The project will identify new environmental fiscal instruments. Mobilisation of civil society to advocate for fiscal reforms will be instrumental to convince decision-makers and the public for their support.
12. Under **sub-outcome 3.2, “The enabling environment for private sector in CCA is strengthened”**, the project will set up the foundations for the integration of CCA into private sector agendas. Modalities for the enhancement of public-private partnerships will be established in the sector of agriculture. Indeed, the sector offers a great potential for mobilising private funding in the climate change area. Experiences from this sector will help scale up the coverage to others. The FNEC will work closely with the chamber of

commerce in the planning and implementation phases of the activities. The project will also strengthen the engagement of private sector's companies through a consultation framework, in particular in the agriculture sector. This activity will be implemented jointly with the CNCC, the Ministry of Agriculture, and the Chamber of Commerce. An idea note will be developed on an agriculture-related project which would comprise a public-private partnership in one of the priority projects of the PAG.

### **Partnerships:**

13. Forging and utilizing effective and sustainable partnerships is an essential component of the project and it will amplify impact for all sectors and stakeholders. In that context the proposed project's activities will build on the results and complement the following interventions:
14. The **Third National Communication** is under development, and will contribute to the baseline data needed for the adaptation planning process. The study will include data on climate risks and vulnerability assessments in the water, health and tourism sectors.
15. **"NAPA Energy: Strengthen the resilience of the energy sector to the impacts of climate change (2016-2021)"**: funded by the Global Environment Facility – Least Developed Countries Fund (GEF-LDCF), and implemented by UNDP, this project aims to contribute to overcoming key institutional, political and financial bottlenecks including those relating to individual capacity limitations and knowledge that impede effective management of climate risks in the energy sector. The NAP GCF project will benefit from the development of the parameters and indicators for the assessment of climate risks and vulnerabilities.
16. **"Strengthening the resilience of the rural livelihoods and local government system to climate risks and variability in Benin (2018-2023)"**: This UNDP initiative, funded by the GEF-LDCF, will support the strengthening of agricultural communities to adapt to climate change in four vulnerable agro-ecological zones in Benin. The GCF and GEF-LDCF projects will collaborate to develop a common Climate Change Annual Investment Plan model (PAI-CC).
17. **"Strengthening climate information and EWS in Africa (2013-2017)"**: funded by the GEF and UNDP, this project strengthened the capacities of hydro-meteorological services and developed an early warning and information system to respond to extreme weather conditions and to plan for climate change adaptation in Benin. It supported the development of studies on the modelling of economic climate change impacts in the sectors of agriculture (corn), health and water resources. The GCF-NAP project will build on these interventions, by supporting the development and operationalisation of an integrated economic assessment tool to inform budgeting processes.
18. **Local Climate Adaptive Living Facility (LoCAL (2014))**: This project's objective was to demonstrate and highlight the role that municipalities could play in the promotion of local measures for adaptation/resilience to climate change, through the integration of climate financing in the planning and budgetary framework. It was supported by the UN Capital



Development Fund (UNCDF). Lessons learnt from the project intervention in the six pilot communes will be used as a model for the development of a Climate Change Annual Investment Plan (PAI-CC) model.

19. **“Readiness and preparatory support (2015-2016)”**: funded by GCF and implemented by the NDA, this project aims to strengthen the capacity of the NDA team to fulfil its roles and responsibilities, better engage stakeholders and organise multi-party consultations in liaison with other ministries, relevant departments and agencies on key issues relating to the GCF. Capacity development efforts will be expanded and reinforced to equip the NDA with required skills to coordinate adaptation processes.

#### **Risks and Assumptions:**

20. Please see Risk Log in Annex for full details on risk management. As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5 and probability is 1,2,3,4, 5 or when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported in the Bi-Annual Project Reports. The overall risk categorization of the project is assessed as low as there are no field activities involved and all its activities are focused on technical assistance for building capacities for government officials.

#### **Stakeholder engagement:**

21. To avoid any possible conflicts of interest deriving from the delivery partner’s role as an accredited entity, the prioritization of investments and projects in the context of this readiness grant, will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities for Benin. The final validation of these priorities will be carried out through the countries’ own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies, as well as representatives from civil society and private sector as the NDA deems relevant, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholders.
22. Benin received support from UNDP to move the NAP process forward through the GCF Readiness Programme. At the Inception Workshop, which took place in March 2016, over 70 participants gathered to discuss the work plan’s priorities for the Programme, which included a strong adaptation planning component. It was led by the Minister in charge of Climate Change and the Director General of Climate Change. Participating ministries and agencies include the Directorate General of Environment and Climate (previously Directorate General of Climate Change-DGCC); the National Environment and Climate Fund (FNEC); the Beninese Environment Agency (ABE); Directorate General of Forests, Water and Hunting (DGFEC); National Sustainable Development Commission (CNDD); the Economic and Social Council (CES); Professional Association of Banks and Financial Institutions of Benin; Civil Society Organisations; CONSORTIUM ALAFIA; technical and financial partners; and the ministries in charge of development, finance and decentralisation.



23. In December 2016, a field mission was undertaken with the support of the UNDP-UN Environment National Adaptation Plan Global Support Programme. In-depth consultations were held with national stakeholders, including: the Green Climate Fund Readiness Programme; UNDP Benin; Directorate General of Environment and Climate (DGEC); Planning and Prospective Directorate (DPP) of the Ministry of Living Environment and Sustainable Development (MCVDD); the Ministry of Agriculture, Livestock and Fishery; the National Meteorological Agency; the Water General Directorate (DG Eau); the National Oceanographic Data Centre of Benin (IRHOB); the National Environment and Climate Fund (FNEC); Directorate-General of development policies for national planning; the General Directorate of Forest, Waters and Hunting; the Analysis and Investigation Bureau (BAI); and representatives from the President's Cabinet. Those managing the PAG monitoring include: Centre for Partnership and Expertise for Sustainable Development (CePED); University of Parakou; the National Civil Protection Agency; GIZ; World Health Organization (WHO); UNICEF; and UNCDF. The following projects were also engaged: Strengthening climate information and EWS in Africa; NAPA Energy; LoCAL; and the GEF Small Grants Programme.
24. These consultations were an opportunity to:
1. Review existing initiatives and studies relevant to the NAP
  2. Complete the stocktaking report and make recommendations to advance the NAP process
  3. Identify areas that require capacity building for climate risk mainstreaming and associated strategic responses
  4. Collect information for the development of the project document to be submitted to the GCF
25. They resulted in the Stocktaking Report which served as a basis for the initial consultations on this proposed project.
26. Prior to the project's inception, a consultation workshop will be organised with key stakeholders to present the project, engage the main actors, define responsibilities, and update the roadmap, taking into consideration activities carried out by other NAP-related initiatives. It will be coordinated through the CNCC, and will involve relevant ministries, civil society, researchers, CBOs, private sector, projects and programmes and donors. The project will address gender-balanced representation within the CNCC, to ensure the positioning of women as main contributors to strategies and decisions.

**South-South and Triangular Cooperation (SSTrC):**

27. This project is country-specific. However, it borrows from the global principles of CCA practice. The project's learning and knowledge aspect includes an exchange of lessons and best practices in adaptation with other countries in the region facing similar climate shocks and barriers to adaptation including Mali, Burkina Faso, or Chad. No collaboration with these countries for the implementation of project activities is planned but knowledge platforms within UNDP between country offices and regional offices can be used to share experiences at a regional level and between LDCs in the region.

28. The creation of knowledge platforms between the countries and UNDP regional offices concerning the promotion of sharing experiences and expertise should take into consideration the components of SSTRC in order to set the tone of this kind of cooperation. Equality, reciprocity, and participation should be the guiding principles of this initiative and its organizational model should be flexible and adaptable to different environments.

#### **Sustainability and Scaling Up:**

29. The NAP will be the main document guiding mid- and long-term adaptation in Benin. The sustainability of NAP actions will be ensured through the subsequent implementation of the priority adaptation options identified during the process. By developing tools (DPTD-CC, PAI-CC), mechanisms (public-private partnership platform), capacities (MPS, Ministries, civil society), aligned to the national development needs (PAG), the project establishes the foundations for the mainstreaming of CCA into budgeting processes. This approach facilitates adaptation mainstreaming by line ministries and municipalities into sector and local policies and budgeting. Activities initiated during the project's first phase are expected to be reinforced during a potential second phase of GCF support. As the DGEC is in charge of leading the NAP process, it will be responsible for the collection and maintenance of the datasets (on CRVA, expenditures, economic appraisal) in cooperation with the CMEIB and DGB.
30. In addition, the last outcome of the project will strengthen capacities of the FNEC which will increase the country's abilities to convey private funds for adaptation and thus ensure the financial sustainability of the project.

#### **Mainstreaming gender:**

31. Vulnerable communities and women in particular are also at the centre of the NAP process. It emphasizes gender inclusiveness in climate change adaptation planning and budgeting, recognizing that adaptation cannot be successful without the involvement of all Beninese people, in particular women, who are the main actors in the education of future generations.
1. During the implementation process, gender concerns will be brought to the forefront through (i) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (ii) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; and (iii) the development support, evaluation and selection of gender-sensitive initiatives for further implementation.
  2. A gender expert will be recruited to ensure a special emphasis is put on the impact of climate change on women in particular during the development of the sectoral vulnerability assessments.

#### **Project Management**

3. The project will be implemented following UNDP's Direct Implementation Modality (DIM), according to the Readiness and Preparatory Support Grant Framework Agreement between UNDP and the GCF.
4. Project management: A Climate Change Policy Specialist will act as **Project Manager** and run the project on a day-to-day basis on behalf of UNDP within the constraints laid down by the Project Board. The project management unit will be based at the Ministry of Living Environment and Sustainable



Development (MCVDD). His/her function will end when the final project Final independent Evaluation Report and other documentation required by the GCF and UNDP has been completed and submitted to UNDP. He/she is responsible for day-to-day management and decision-making for the project. His/her prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. He/she will be supported by an administrative and a financial assistant for operational aspects of the project. In addition, a specialist on public finance management and a climate science/vulnerability expert will provide guidance and deliver specific activities of the project. They will be based at the DGEC and fully contribute to its mandate. These posts should eventually be budgeted for and integrated into the staff structure of the DGEC.

5. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>19</sup> and the relevant GCF policy.
  
6. Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy <sup>20</sup> and the GCF Disclosure Policy. <sup>21</sup>

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<sup>19</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>20</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>21</sup> See [https://www.greenclimate.fund/documents/20182/184476/GCF\\_B.12\\_24\\_-\\_Comprehensive\\_Information\\_Disclosure\\_Policy\\_of\\_the\\_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb](https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb)

Year	1950	1951	1952	1953	1954	1955	1956	1957	1958	1959	1960
Population	1,000	1,100	1,200	1,300	1,400	1,500	1,600	1,700	1,800	1,900	2,000
Area	100	100	100	100	100	100	100	100	100	100	100
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Project Results Framework

As per section VII below, the Project Board will review and agree on the results framework and finalize the indicators, means of verification and monitoring plan during the inception workshop and in line with the GCF interim report format (Annex H).

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
<b>Outcome 1: Economic and climate impacts are assessed, and adaptation options prioritised for effective budgeting and planning</b>							
1. An economic assessment tool informing budgeting processes is operational	Extent of functioning of a model to track economic impacts of climate change	Three sectoral economic modelling of climate change impacts undertaken by the CME/ICB (agriculture, health and water), but modeling of economic responses are lacking	5 Strong sectoral economic modelling estimating the future biophysical implications of CC, and modeling of economic responses to the biophysical changes, and/or a computable general equilibrium models (CGE) are developed, to serve for the budget planning processes	Meeting minutes from steering group meetings; TORs for consultant team; review of modelling frameworks; report for validation workshop	Data is sufficient and appropriate for model creation; consultant team able to be recruited in timely manner	What tools/studies/models are currently in use to assess the economic impacts of climate change?  Have economic impacts of climate change been evaluated for your sector? When were these assessments last updated?	<p>1. Develop and operationalise models on the economic impacts of climate change and/or an integrated macroeconomic modelling (computable general equilibrium model) to support budget planning. They target the 5 PAG sectors considered as the most vulnerable to climate change including agriculture, infrastructure, energy, forestry and water supply.</p> <p>1. An advisory and steering group is established by M3, to supervise the process.</p> <p>2. A team of consultants (firm or University) is recruited by M5.</p> <p>3. Sectoral and integrated modelling frameworks are developed, in close collaboration with national institutions and validated by the advisory and steering group by M7.</p> <p>4. Methodologies and applications are selected, appropriate data are collected by M8.</p> <p>5. Sector-level impacts, and economy-wide impacts are determined, and validated through a national workshop by M13.</p>

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
	Number of institutional staff with expanded skills in economic modeling for use in adaptation planning	Weak capacities on the use of economic modelling within the CMEICB and national partners	Local expertise on the use of economic modelling exist (at least 5 experts, including 2 women)	Workshop reports from training sessions; pre- and post-training surveys of participants	Staff have sufficient baseline skills to receive additional training	Have you or others in your office received training on the use of economic models for climate adaptation planning and budgeting?	<p>1. Build capacities on the use of economic models for effective adaptation planning and use in mid-term and annual budgeting processes:</p> <p>1. Two series of 5-day training workshops (for each) targeting 60 participants (50 percent women) are organised, under the leadership of the CMEICB on the use of the economic modelling (See activity 1.1.1) by M15, targeting the ministry of finance and budget, sectoral ministries, the INSAE, and researchers by M15.</p>
1. Climate risks and vulnerability assessments are conducted in urban planning and infrastructure, energy and forestry	Number of sector climate risk vulnerability assessments developed	Absence of RVA to inform PAG priorities in the sector of urban planning and infrastructure, energy and forestry	In-depth RVA are completed for the following PAG vulnerable sectors: urban planning and infrastructure, energy and forestry	Review of CRVA reports  Workshop reports and review of identified adaptation measures by sector	Data sufficient and available to complete CRVAs and identify adaptation options  Consensus on adaptation measures	Has a climate risk and vulnerability assessment been completed for your sector? When was it last updated?	<p>1. Undertake in-depth climate risks and vulnerability assessments (CRVA) in the following sectors: urban planning and infrastructure, energy, and forestry, and identify adaptation measures.</p> <p>1. CRVAs are conducted by teams of consultants for each sector and a gender expert are finalised and validated through a national workshop by M12.</p> <p>2. 3 sectoral workshops are organised to identify adaptation measures in the sectors of urban planning and infrastructure, energy and forestry by M14.</p>
	Number of adaptation measures identified in priority sectors	Limited					



PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. Adaptation options are prioritised for the urban planning and infrastructure, forestry, and energy sectors, and compiled as part of the NAP	Number of stakeholders trained on CRVA methodologies	studies on gender-differentiated impacts of climate change	CRVA in urban planning and infrastructure, energy and forestry include gender-differentiated impacts	Review of TOR for institution(s) to complete training  Workshop reports, participant lists, and pre- and post-workshop survey or participants	Availability of local training institutions  Stakeholders have sufficient baseline skills to receive additional training	Have you or others in your office received training on climate vulnerability assessment methodologies?	1. Build capacities of academic and research institutions, NGOs, and sectoral ministries on climate risks and vulnerability assessment methodology. This activity will be conducted by a national training institution, with the support of an international consultant.  1. TOR elaborated and a training institution is recruited by M6.  2. Series of a 5 day training workshop are organised, targeting at least 30 participants (50 percent of women) by a training institution by M12.
	Number of prioritized and validated adaptation options, by sector	Absence of future mid and long-term adaptation responses to climate change in existing planning strategies	Mid and long-term adaptation options are identified and prioritised, in view of NAP formulation for the following sectors: urban planning and infrastructure, energy and forestry	Review of prioritized adaptation options  Workshop reports from validation workshops	Adaptation options identified and associated data sufficient to prioritize	Have adaptation options been identified (and, if so, prioritized) for your sector?	1. Prioritise adaptation options in the sectors of urban planning and infrastructure, forestry and energy. This activity builds on activity 1.2.1, and is complementary to GIZ work in agriculture, health and water resources.  1. TORs are elaborated and consultants recruited by M14. The team of consultants is comprised of a socio-economist/statistician, and 3 sectoral experts.  2. Studies finalised and validated through 3 sectoral workshops by M16.
	Existence and status of NAP formulation document			Review of NAP sector draft sections	Close coordination between NAP team and GIZ  Progress on GIZ initiative is on track with activity timing	What is the status of the NAP formulation document section for your sector?	1. Contribute to the NAP formulation document based on identified adaptation options in the three sectors of urban planning and infrastructure, forestry and energy. This activity is a contribution to the NAP drafting in the sectors covered by the project. It is carried out in close collaboration with GIZ's initiative.  1. TOR are elaborated and a national consultant, recruited to support to the NAP formulation process, by M16.  2. Sections on 3 sectors of NAP are drafted by M18.

Outcome 2: CCA mainstreaming into budgeting processes is facilitated

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. The tracking of CCA interventions and budget expenditures is strengthened through budget tracking tools and an enhanced information platform	Existence and status of coordinating mechanism for CCA integration into budgeting (national and local levels)	No tracking tool available within the CNCC, to monitor budgeting processes	The coordinating mechanism is equipped to monitor budgeting processes, based on a tracking and budget coding tool	CNCC meeting minutes  Training workshop report and pre- and post-training survey for participants	Existing coordination and budget tracking mechanisms can be expanded and strengthened  Data sufficient to track budget allocations for CCA	What are the currently used coordination mechanisms for CCA planning? Are tools in place for tracking CCA in budgeting at the national level? Local level?  How often does the CNCC meet?	1. Reinforce and equip the existing coordinating mechanisms with tools to track CCA integration into budgeting at national and local level.  3. CNCC meeting is organised every 6 months. 4. Based on guidelines developed under sub outcome 2.2.1, a consultant is recruited to develop a tracking and budget coding tool to monitor CCA mainstreaming into budgeting by M9. This tool will be included into the platform developed in activity 2.1.2 5. A training is organised for the coordinating mechanism members on national and local budgeting processes, and the use of tools developed (including those developed under activity 2.2, by M12



PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
	<p>Existence of a gaps assessment for climate information needs on knowledge sharing platform.</p> <p>Status and degree of interactivity of upgraded public knowledge sharing tool for climate information.</p>	<p>Existing climate change information platform is more a directory of projects reports, and its utilisation is not reported</p>	<p>Existing platform is transformed into an interactive learning and monitoring tool, and entries are reported (at least 100 entries per month)</p>	<p>Review of gaps assessment for knowledge sharing platform.</p> <p>Document or report detailing design changes intended and institutional arrangements.</p> <p>Review of agreements between DGEC and information providers.</p> <p>Report to national coordinating mechanism on success and challenges.</p> <p>Review of webinar materials and attendance logs.</p>	<p>Public platform for sharing climate information exists and is able to be updated (server capacity, knowledge management staff capacity, etc.)</p> <p>All stakeholders involved agree upon user interface and requirements for upgraded platform.</p> <p>Time is sufficient for design, review, and update of platform.</p>	<p>How is climate information collected, shared, currently in your sector? With other entities?</p> <p>Do you currently have access to the climate information you need to perform/inform climate adaptation planning work?</p> <p>Does a platform for gathering climate information and sharing between ministries/departments exist? Does your office have access to and use the platform?</p>	<p>1. Reinforce and upgrade the existing public platform into an interactive learning tool, to strengthen the coordination of interventions, and the monitoring of CCA mainstreaming into national and local budget. The platform also includes learning opportunities, training materials</p> <p>6. Assess climate information needs, including the existing knowledge sharing platform content, effectiveness, and utilisation, taking into account gender needs by M5</p> <p>7. Based on the assessment, design platform content and institutional arrangements (including information sharing arrangements between providers) by M10</p> <p>8. Agreements signed between the Directorate-General of the Environment and Climate (DGEC) and information providers, under the national coordinating mechanism supervision, by M12</p> <p>9. Reorganise and expand the platform content by M15</p> <p>10. Report back to the national coordinating mechanism on success and challenges, and ways of improvement by M15</p> <p>11. Organisation of 2 webinars by the CNCC, on the NAP process and status of implementation by M18.</p>

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. Climate Change Budgeting guidelines are developed and CCA is integrated into multiannual and annual budgets in pilot ministries and municipalities	Existence, status, and use/adoption of Triennial Climate Change Expenditure Programming guidelines.	No guidelines to support CCA mainstreaming into budgeting processes at national and local levels	A Triennial Climate Change Expenditure Programming Document, and a climate change annual investment plan model developed and operationalised	Review of DPTD-CC draft guidelines.  Participant lists and workshop reports for training workshops and high level consultation on the launch of the guidelines.	Political consensus on DPTD-CC guidelines.  CPEIR and other dependent outputs completed.	Do expenditure and/or budgeting guidelines exist for climate change-related expenditures?	<p>1. Based on the CPEIR and activity 1.1.1's outputs, support the development of a Triennial Climate Change Expenditure Programming guideline (DPTD-CC) to feed sectoral DPPD</p> <p>12. The DPTD-CC Guidelines is drafted, based on the DPPD guidelines and technically validated through a workshop by M7</p> <p>13. 6 training workshops are organised by M11: 1) For the ministry of planning and the ministry of finance staff, and ii) the planning units of the 5 ministries of infrastructure and urban planning, agriculture energy, environment and water resources on the use of the DPTD-CC.</p> <p>14. Through a high-level consultation (a workshop) including Members of Parliaments, government officials, development partners, and CSOs, present, advocate and support the validation of the Guidelines, with the Directorate-General of Budget (DGB), and the Directorate-General for Economic Affairs (DGAE), by M13.</p>



PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
	Existence and status of Climate Change Annual Investment Plan Guide (PAI-CC).			Review of the PAI-CC guidelines.	Consensus on target municipalities for pilot interventions.	What is the status of the climate change annual investment plan guide? How many localities has it been piloted within?	1. Based on the existing Annual Investment Plan (PAI) model and activity 1.1.1, develop a climate change annual investment plan guide (PAI-CC), to support CCA mainstreaming into local budgeting
	Number of municipal-level PAI-CC documents developed and in use.			List of pilot municipality locations.	Data sufficient to evaluate and track costs and develop PAI-CCs at municipal level.		1. The PAI-CC guide is elaborated, based on the PAI guidelines, and validated through a workshop, by M7
				Review of the PAI-CC documents for three target municipalities.			2. identify three pilot municipalities in the three intervention zones of activity 1.1.1, by M9.
				Workshop reports from high-level consultations on PAI-CC at municipal level.			3. Elaborate 3 2019 PAI-CC for three target municipalities, based on the PAI guidelines and the 3 PCD, and present them during 3 high-level consultation (with municipalities, DGPD, DGB, DGAE, the FADEC, and CSOs), for full consideration into the targeted communal budget conferences, by M15. These meetings will be held prior to the annual communal budget conferences.

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. Decision makers' capacities are strengthened to influence budgetary processes at the sectoral and local level, for CCA mainstreaming	Number of national high-level decisionmakers with enhanced capacities for CCA planning and sensitized in CCA mainstreaming challenges and opportunities, including examples from outside Benin.	The National Assembly and the Economic and Social, have not been exposed to challenges and opportunities related to CCA mainstreaming into budgeting processes to date	At least, 100 decision makers, including parliamentarians (from the National Assembly and the Economic and Social), local authorities are aware CCA mainstreaming challenges and opportunities in Benin	Workshop participant lists and reports.	Baseline capacities sufficient enough to be expanded /specialized	Have you received training on CCA mainstreaming?	<p>1. Enhance technical capacities of parliamentarians (National Assembly, and Economic and Social Council), Ministry of Economy and Finance, Ministry of Planning, CSOs, journalists, on CCA mainstreaming</p> <p>1. Two national experts recruited by M3, to provide assistance to the parliamentary committees for the review of the Climate Change Law.</p> <p>2. A reading of the Climate Change Law is organised at Parliament by M6.</p> <p>3. Provision of expertise, information and knowledge on best practices and concrete examples on mainstreaming CCA into development planning (with a focus on budgeting processes), from other countries, through two workshops targeting 50 participants (50 percent of women) by M10</p>
	Number of municipal leaders and associated stakeholders with enhanced CCA planning and investment skills.			Workshop attendee list and reports.  Pre- and post-workshop surveys on capacity levels and likelihood to utilize new skills in day-to-day work.	Baseline capacities sufficient enough to be expanded /specialized	(for municipal stakeholders) Have you received training on CCA mainstreaming? CCA-related project management skills (M&E, resource mobilization, etc.)? Do you have the skills you need to develop and fund CCA interventions in your location?	<p>1. Enhance technical capacities of municipalities, the Municipalities Development Support Fund (FADeC), the Directorate of Management of local authorities, and local NGOs, on integration of climate change adaptation into annual investment plans (PAI), resource mobilisation and project management, M&amp;E and knowledge management</p> <p>1. 3 training workshops organised by M12, on CCA mainstreaming into the PAI mechanism, and the use of guidelines developed at activity 2.2, targeting the municipalities, unit planning, the Municipalities Development Support Fund (FADeC), the Directorate of Management of local authorities, and local NGOs.</p> <p>2. 4 training workshops organised by M15 on resource mobilisation, project management, M&amp;E and knowledge management, targeting at least 50 participants from municipalities (50 percent of women).</p>
<b>Outcome 3. The National Environment and Climate Fund (FNEC) is strengthened to attract public and private funding for effective adaptation planning</b>							



PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. A framework for fiscal incentives is created to expand FNEC's resources	Number of domestic CCA funding mechanisms identified and advocated to the Ministry of Economy and Finance and Parliamentarian s.	Environmental taxes that serve to feed FNEC budget have not evolved over the years	At least two innovative sources of funding are identified and proposed to the government for endorsement	Review of environmental financial instruments study.  Workshop reports on outcomes of consultations with CSOs and ministry/parliament officials.	Feasible funding options are able to be identified.	Have innovative (incl. private sector) national and local funding options for climate adaptation been thoroughly analysed for Benin?	<p>1. Support the FNEC to identify innovative local funding mechanisms, and advocate for its legal application, in support to adaptation funding, based on the outcomes of the Green Climate Fund Readiness Programme study<sup>22</sup>, and the 2017-2021 FNEC strategic plan.</p> <p>1. A study is carried out by two national consultants (an international consultant tax expert, and a national consultant environmental economist) to identify new environmental fiscal instruments by M7.</p> <p>2. Based on the study, an update of legislation related to the recovery and allocation of fiscal resources, is elaborated, and validated through a national workshop by M9.</p> <p>3. Through two consultations (one with the civil society organisations, and a high-level consultation with decision makers in collaboration with civil society organisations), present, and advocate with parliamentarians (National Assembly, and Economic and Social Council), Ministry of Economy and Finance, for the approval of the new measures by M13.</p>

PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
1. The enabling environment for private sector in CCA is strengthened	Number of private sector entities identified for potential interests in CCA implementation	The private sector is absent from the CCA landscape in Benin despite the strong PAG focus on public-private partnership for its implementation	A public/private partnership framework is established, between the FNEC, public and private sector companies, to support CCA investment	Review of private sector needs and interests map.  Workshop report for validation and awareness workshop.	Private sector entities interested in engaging in CCA planning and implementation.	Have market studies detailing potential for private sector investment in CCA activities been completed for your sector?	<p>1. Support the FNEC to identify potential private sector actors on CCA, and organise awareness raising meetings focused on potential risks and response measures of climate change.</p> <p>1. A mapping of private sector needs and interests and potential climate change adaptation response measures is conducted) by M8.</p> <p>2. The report is validated, through a national awareness raising workshop including the private sectors companies by M9.</p>



PROJECT OUTCOMES	INDICATORS	BASELINE	TARGET	MEANS OF VERIFICATION	ASSUMPTIONS / RISKS	BASELINE QUESTIONS	ACTIVITIES
	Existence of private sector partnership framework for CCA investment.  Number of developed CCA project idea notes in agriculture sector.			Review of signed agreement between FNEC and Chamber of Commerce.  Review of consultation framework between FNEC and public and private companies.  Workshop/meeting reports from meetings with platform actors.  Review of idea note draft for agriculture CCA project.	Willing private sector entities identified for partnership agreements and idea development.	Have private entities been formally engaged in national CCA planning process? What is the nature of this engagement? (project ideation, MOU, consultation framework development, etc.)	<ol style="list-style-type: none"> <li>Establish a framework for partnership with private companies, to support CCA investment and initiate the development of one project idea note in the sector of agriculture, based on adaptation measures identified in activity 1.2.1.</li> <li>An agreement is signed between the FNEC, and the chamber of commerce to partner on CCA in coherence with the PAG orientations by M4.</li> <li>Based on the report, and the awareness meeting (activity 3.7.1), at least 5 target bilateral meetings with agricultural private sector institutions are organised by the FNEC, to engage in partners by M12.</li> <li>A consultation framework between the FNEC and targeted public and private companies is set up, by M14. 2 public-private meetings with the platform actors are organized in M12 and M15. The framework will meet regularly, once established, to discuss on CCA investment challenges, opportunities, and propose measures to overcome identified barriers</li> <li>An idea note is drafted by a consultant and validated through the consultation framework on an agriculture-focused adaptation project which include public-private partnerships by M18.</li> </ol>

## Monitoring and Evaluation (M&E) Plan

7. The project results as outlined in the project results framework will be monitored and reported annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.
8. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (Programme and Operations Policies and Procedures) and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.
9. In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

### **M&E oversight and monitoring responsibilities:**

10. Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project personnel maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.
11. The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation occur on a regular basis.
12. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project Final independent Evaluation Report and the management response.



13. UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Project Report, and the Final independent Evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.
14. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.
15. The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF.
16. The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.
17. UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.
18. **Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.<sup>23</sup> Additional audits may be undertaken at the request of the GCF.

**Additional GCF monitoring and reporting requirements:**

19. Inception Workshop and Report: A project inception workshop will:
  1. Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;

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<sup>23</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

2. Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
  3. Review the results framework and finalize the indicators, means of verification and monitoring plan;
  4. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
  5. Identify how project M&E can support national monitoring of SDG indicators as relevant;
  6. Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
  7. Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
  8. Plan and schedule Project Board meetings and finalize the first year annual work plan.
20. The Project Manager will prepare the inception workshop report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Advisor, and approved by the Project Board.
  21. The inception report must be submitted to the GCF within six months of project start. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Advisor, and approved by the Project Board.
  22. GCF Readiness Support Interim Progress Report (due every six months): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the progress report.
  23. The Annual Project Report submitted to the GCF will also be shared with the Project Board. The UNDP Country Office will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.
  24. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.
  25. Final independent Evaluation: A final independent evaluation will take place upon completion of all major project outputs and activities. The final independent evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project



team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. This is expected to be completed by 18<sup>th</sup> October 2020.

26. The Project Manager will remain on contract until the Final independent Evaluation Report and management response have been finalized. The terms of reference, the evaluation process and the final report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center. As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Advisor, and will be approved by the Project Board. The TE report will be publicly available in English on the UNDP ERC.
  
27. The UNDP Country Office will include the planned project final independent evaluation in the UNDP Country Office evaluation plan and will upload the final evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).
  
28. Final Report: The project's final Annual Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Mandatory GCF M&E Requirements and M&E Budget:**

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>24</sup> (US\$)		Time frame
		GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 5,000		13 June 2019
Inception Report	Project Manager	None	None	20 June 2019
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually

<sup>24</sup> Excluding project team staff time and UNDP staff time and travel expenses.

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>24</sup> (US\$)		Time frame
		GCF grant	Co-financing	
Risk Management	Project Manager Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework <i>(including hiring of external experts, project surveys, data analysis etc...)</i>	Project Manager	USD 14,500	None	Annually
GCF Bi-Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF Unit	None	None	Bi-annually
DIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 4,000	None	Annually or other frequency as per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	Personnel costs	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	N/A	None	On-going
Project Board meetings	Project Board UNDP Country Office Project Manager	None	None	At minimum annually
Supervision missions	UNDP Country Office	None <sup>25</sup>	None	Two per year (as per agreed workplan)
Oversight missions	UNDP-GEF Unit	None	None	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF Unit	None	None	To be determined.
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-GEF Unit	USD 21,740	None	Add date
Translation of evaluation reports into English	UNDP Country Office	USD 500	None	As required. GCF will only accept reports in English.

<sup>25</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.



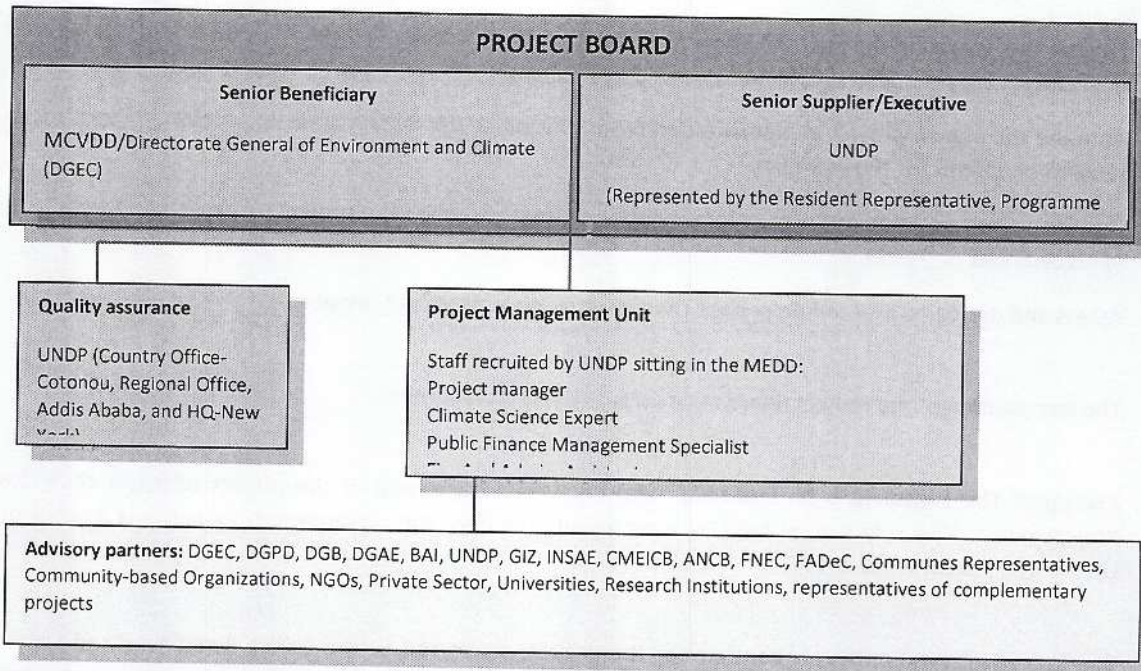
GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget24 (US\$)		Time frame
		GCF grant	Co-financing	
TOTAL indicative COST		USD 47,740		
Excluding project team staff time, and UNDP staff and travel expenses				

### Governance and Management Arrangements

29. Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's direct implementation modality, according to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.
30. The **Implementing Partner** for this project is UNDP. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:
1. Approving and signing the multiyear workplan;
  2. Approving and signing the combined delivery report at the end of the year; and,
  3. Signing the financial report or the funding authorization and certificate of expenditures.

The project organisation structure- is as follows:

Figure 2: Project Organisation Structure



4. The **Project Management Unit** will carry out project implementation, with the support of a Financial and Administrative Assistant. The management arrangements for this project are summarized in the chart above.
5. **Project Board:** The Project Board (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.
6. Specific responsibilities of the Project Board include:
  1. Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
  2. Address project issues as raised by the project manager;
  3. Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
  4. Agree on project manager's tolerances as required;



5. Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
6. Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
7. Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
8. Assess and decide to proceed on project changes through appropriate revisions.
9. The composition of the Project Board must include the following roles:
10. Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is: *UNDP*.
11. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.
12. Specific Responsibilities: (as part of the above responsibilities for the Project Board)
  1. Ensure that there is a coherent project organisation structure and logical set of plans;
  2. Set tolerances in the AWP and other plans as required for the Project Manager;
  3. Monitor and control the progress of the project at a strategic level;
  4. Ensure that risks are being tracked and mitigated as effectively as possible;
  5. Brief relevant stakeholders about project progress;
  6. Organise and chair Project Board meetings.
7. Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier is: *UNDP*.
8. Specific Responsibilities (as part of the above responsibilities for the Project Board)

1. Make sure that progress towards the outputs remains consistent from the supplier perspective;
  2. Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
  3. Ensure that the supplier resources required for the project are made available;
  4. Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
  5. Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.
6. **Senior Beneficiary:** The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is: Directorate General of Environment and Climate (DGEC).
7. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.
8. Specific Responsibilities (as part of the above responsibilities for the Project Board)
1. Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
  2. Specification of the Beneficiary's needs is accurate, complete and unambiguous;
  3. Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
  4. Impact of potential changes is evaluated from the beneficiary point of view;
  5. Risks to the beneficiaries are frequently monitored.
6. **Project Manager:** The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.
7. The Implementing Partner contracts the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.
8. Specific responsibilities include:
1. Provide direction and guidance to project team(s)/ responsible party (ies);



2. Liaise with the Project Board to assure the overall direction and integrity of the project;
3. Identify and obtain any support and advice required for the management, planning and control of the project;
4. Responsible for project administration;
5. Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
6. Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
7. Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
8. Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
9. Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
10. Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
11. Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
12. Capture lessons learned during project implementation;
13. Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
14. Prepare the Annual Project Report and submit the final report to the Project Board;
15. Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
16. Identify follow-on actions and submit them for consideration to the Project Board;
17. Ensure the final independent evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board;
18. **Project Assurance:** UNDP provides a three – tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. The quality assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance must be independent of the Project Management function; the Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. The project assurance role is covered by the accredited entity fee provided by the GCF. As a Delivery Partner to the GCF, UNDP is required to deliver GCF-specific oversight and quality assurance services including: (i) Day-to-day oversight supervision, (ii) Oversight of project completion, (iii) Oversight of project reporting.

19. UNDP has been selected by the Government to act as the Delivery Partner for this NAP project. UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p><b>Project start-up:</b>            In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal            Prepare the Project Document with the government counterparts            Technical and financial clearance for the Project Document            Organize Local Project Appraisal Committee            Project document signature            Ensure quick project start and first disbursement            Hire project management unit staff            Coordinate/prepare the project inception workshop            Oversee finalization of the project inception workshop report</p> <p><b>Project implementation:</b>  <u>Project Board:</u> Coordinate/prepare/attend annual Project Board Meetings  <u>Annual work plans:</u> Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal  <u>Prepare GCF/UNDP annual project report:</u> review input provided by Project Manager/team; provide specialized technical support and complete required sections  <u>Portfolio Report (readiness):</u> Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement.</p> <p><u>Procurement plan:</u> Monitor the implementation of the project procurement plan  <u>Supervision missions:</u> Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions  <u>Risk management and troubleshooting:</u> Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects)  <u>Project budget:</u> Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies  <u>Performance management of staff:</u> where UNDP supervises or co-supervises project staff  <u>Corporate level policy functions:</u> Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management,</p>	70%



Function	Detailed description of activity	Typical GCF fee breakdown
	and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism.	
<b>Oversight of project completion</b>	Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response Quality assurance of final evaluation report and management response Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting Quality assurance of final cumulative budget implementation and reporting to the GCF Return of any un-spent GCF resources to the GCF	10%
<b>Oversight of project reporting</b>	Technical review of project reports: quality assurance and technical inputs in relevant project reports Quality assurance of the GCF bi-annual project report Preparation and certification of UNDP annual financial statements and donor reports Prepare and submit fund specific financial reports	20%
	<b>TOTAL</b>	<b>100%</b>

Governance role for project target groups:

1. A **Steering Committee** comprising of NDA-GCF, DGEC, Directorate-General of Development Policies, Directorate-General of Budget, Directorate-General for Economic Affairs, Analysis and Investigation Bureau and representatives of the provincial governments will be delegated to provide more regular and periodic guidance and implementation support to the Programme Management Unit. Representatives of related projects mentioned in this project, such as the GCF Readiness-BMUB-UNDP-UNE project and the GIZ project will also be invited to the steering committee to foster synergies. UNDP will participate in sub-committee meetings in its oversight capacity as and when needed.
2. **Advisory partners:** this group comprises primarily of an inter-governmental coordinating committee (based on CCA Economy Initiative, Technical Committee in charge of Monitoring reforms), departments at national level (Directorate-General of Development Policies-DGDP, Directorate-General of Budget-DGB, Directorate-General for Economic Affairs-DGEA, Analysis and Investigation Bureau-AIB), the Commission of Economic Modelling of the impacts and Integration of Climate Change in the state general Budget (CMEICB), the National

Environment and Climate Fund (FNEC) and the Municipalities Development Support Fund (FADEC), provincial governments, the community members from targeted regions, National Association for the Communes of Benin (ANCB), private sector representatives, academia, civil society and other national, regional and international NGOs. These partners contribute technical resources as and when solicited by the PB or the IP and collaborate closely with the Implementing Partner DGEC.

3. The project will benefit from the wide experience of the NAP-GSP team in the different countries it supports, and particularly in African countries, and from its pools of experts (Climate Information and Science Experts, Climate Change/Environment Economists, Public Finance Specialists, Private Sector Experts, Climate Policy Specialists, etc.), which will provide technical assistance whenever requested.
  
4. **Local stakeholders and community members** have a key role in the implementation and monitoring of the project. During the inception phase of the project, the NDA-GCF and DGEC working together with UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, Community Based Organization, civil society, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The project Logic Framework (indicators, means of verification, assumptions) will be reviewed and the quarterly and annual plans will be refined engaging the communities from the targeted counties. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

#### Financial Planning and Management

1. The total cost of the project is *USD 1,422,040.00*. This is financed through a GCF grant of *USD 1,422,040.00* to be administered by UNDP. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

<u>Outputs</u>	<u>Amount (USD)</u>
TOTAL Output 1	<b>704,559.98</b>
TOTAL Output 2	<b>449,027.98</b>
TOTAL Output 3	<b>198,220.04</b>
Project Management Cost	<b>70,232.00</b>
TOTAL Output 1 + 2 +3 + PMC	<b>1,422,040.00</b>



2. GCF Disbursement schedule: Disbursement request will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the “Framework Readiness and Preparatory Support Grant Agreement” between GCF and UNDP. Under Clause 4 of said Framework Agreement, “the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02.
3. Budget Revision and Tolerance: 10% of the total overall projected costs can be reallocated among the budget account categories within the same project output. Any budget reallocation involving a major change in the project’s scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF’s prior written consent.
4. As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF Unit.
5. Any over expenditure incurred beyond the available GCF grant amount will be absorbed by non-GCF resources (e.g. UNDP TRAC or cash co-financing).
6. Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.
7. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>26</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.
8. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed.

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<sup>26</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

9. Transfer or disposal of assets: In consultation with the Partners and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>27</sup>.
10. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP has closed the accounts for the project; c) UNDP has certified a final Combined Delivery Report (which serves as final budget revision).
11. The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

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<sup>27</sup> See

[https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PPM\\_Project%20Management\\_Closing.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default).



Total Budget and Work Plan

Atlas Proposal or Award ID:	00117797	Atlas Primary Output Project ID:	00114708
Atlas Proposal or Award Title:	Advancing the National Adaptation Plan Process in Benin		
Atlas Business Unit	BEN10		
Atlas Primary Output Project Title	Output 3 of UNDAF programme: The State improves the management of its natural resources and related benefits as well as mechanisms for disaster management and commits to a green economy		
UNDP-GEF PIMS No.	6034		

GCF Readiness NAP Output	Resp. Party	Fund ID	Donor Code/ Name	ATLAS Account Code	ATLAS Budgetary Account Description	Amount US\$ (Semester 1)	Amount US\$ (Semester 2)	Amount US\$ (Semester 3)	Total Amount US\$	See budget note: *
Outcome 1: Economic and climate impacts are assessed, and adaptation options prioritised for effective budgeting and planning	UNDP	66001	12526 Green Climate Fund	71200	International Consultants	0.00	90,000.00	0.00	90,000.00	1
				71300	Local Consultants	0.00	144,000.00	72,000.00	216,000.00	2
				71600	Travel	1,500.00	28,668.00	8,892.00	39,060.00	3
				72100	Contractual Services Companies	0.00	35,000.00	145,000.00	180,000.00	4
				71400	Contractual Services-indiv	28,166.66	28,166.66	28,166.66	84,499.98	5
				75700	Training, Workshops and Conferences	0.00	24,000.00	50,000.00	74,000.00	6
				74200	Audio Visual&Print Prod Costs	500.00	500.00	500.00	1,500.00	7
				74500	Miscellaneous	6,500.00	6,500.00	6,500.00	19,500.00	8
Total Output 1					36,666.66	356,834.66	311,058.66	704,559.98		
Outcome 2: CCA mainstreaming into budgeting processes if facilitated	UNDP	66001	12526 Green Climate Fund	71200	International Consultants	0.00	26,000.00	0.00	26,000.00	9
				71300	Local Consultants	21,000.00	80,700.00	3,600.00	105,300.00	10
				71600	Travel	1,000.00	5,240.00	1,500.00	7,740.00	11
				72100	Contractual Services Companies	0.00	0.00	38,988.00	38,988.00	12
				71400	Contractual Services-indiv	28,166.66	28,166.66	28,166.66	84,499.98	5
				75700	Training, Workshops and Conferences	14,000.00	97,500.00	54,000.00	165,500.00	13

Total Output 2				74200	Audio Visual&Print Prod Costs	500.00	500.00	500.00	500.00	1,500.00	14
					74500	Miscellaneous	6,500.00	6,500.00	6,500.00	6,500.00	19,500.00
Outcome 3: The National Environment and Climate Fund (FNEC) is strengthened to attract public and private funding for effective adaptation planning	UNDP	66001	12526 Green Climate Fund	71200	International Consultants	0.00	24,000.00	36,000.00	60,000.00	15	
				71300	Local Consultants	0.00	24,000.00	12,000.00	36,000.00	16	
				71600	Travel	0.00	7,480.00	7,740.00	15,220.00	17	
				71400	Contractual Services-indiv	9,166.66	9,166.66	9,166.72	27,500.04	5	
				75700	Training, Workshops and Conferences	0.00	15,500.00	19,000.00	34,500.00	18	
				74200	Audio Visual&Print Prod Costs	500.00	500.00	500.00	1,500.00	19	
				74500	Miscellaneous	7,500.00	8,000.00	8,000.00	23,500.00	8	
								17,166.66	88,646.66	92,406.72	198,220.04
Total Output 3					12,498.00	12,498.00	12,498.00	37,494.00	20		
Project management costs	UNDP	66001	12526 Green Climate Fund	71600	Travel	2,000.00	2,000.00	2,000.00	6,000.00	21	
				74100	Professional Services	0.00	4,000.00	0.00	4,000.00	22	
				72500	Supplies	3,000.00	1,000.00	1,000.00	5,000.00	23	
				72800	Information Technology Equipmt	7,050.00	0.00	0.00	7,050.00	24	
				72200	Equipment and furniture	0.00	2,688.00	0.00	2,688.00	25	
				75700	Training, Workshops and Conferences	6,000.00	1,000.00	1,000.00	8,000.00	26	
								30,548.00	23,186.00	16,498.00	70,232.00
Total Project management costs					124,999.98	690,087.98	536,720.04	1,351,808.00			
Total operations costs (Outputs 1+2+3)					155,547.98	713,273.98	553,218.04	1,422,040.00			
TOTAL PROJECT COSTS					155,547.98	713,273.98	553,218.04	1,422,040.00			



Budget Note Item	
Outcome 1	
1	<p>International Expert on infrastructure/urban planning and climate change for 50 days @ \$600/day for the vulnerability assessment of the sector of infrastructure</p> <p>International Expert on renewable energy and climate change for 50 days @ \$600/day for vulnerability assessment of energy sector</p> <p>International Expert on agroforestry and climate change for 50 days @ \$600/day for vulnerability assessment of forestry sector</p> <p>4 local experts for the VA of infrastructure sector: climate science expert, a civil engineer, an urban planner expert, each for 40 days@300\$/day, and a gender specialist for 20 days@300\$/day</p> <p>4 local experts for the VA of forestry sector: climate science expert, an agroforestry specialist, a socio-economist/statistician, each for 40 days@300\$/day, and a gender specialist for 20 days@300\$/day</p> <p>4 local experts for the VA of energy sector: climate science expert, a renewable energy specialist, a socio-economist/statistician, each for 40 days@300\$/day, and a gender specialist for 20 days@300\$/day</p> <p>4 local experts for the prioritization of adaptation options: a civil engineer or an urban planner expert, an agroforestry specialist, a renewable energy specialist, and a socio-economist/statistician. Each for 30 days@300\$/day</p> <p>1 local climate change policy specialist to support NAP formulation for 60 days@300\$/day.</p> <p>Missions for 3 IC VA international experts each (\$2000 flight cost + 10 days x \$224 DSA)</p> <p>Missions for the 4 national consultants of each VA. 15 days total DSA@100/day and domestic flight costs @200\$ each</p> <p>1 mission for the International consultant for building capacities on vulnerability assessment methodologies of academic and research institutions, NGOs, and sectoral ministries. \$2000 flight costs and 10 days total DSA @ \$224/day</p> <p>1 mission for the four experts for the prioritization of adaptation options. 25 days total DSA@100/day, and domestic flight costs @ 200\$ each</p> <p>Travel for technical project team 3*10@\$100/d + 3*\$500/transportation</p> <p>Firm to conduct the development and operationalization of a national model integrating sectoral models of the economic impacts of climate change 140,000\$. This includes the mobilization of an international environmental economist for 70 days, 6 local experts on agriculture, infrastructure, energy, living environment, and water supply, and statistics for 30 days each, the travels of the international and local consultant (activity 1.1.1), and the capacity building training on the use of the model (activity 1.1.2).</p>
2	<p>Institutional contract for an NGO/research institution for building capacity on vulnerability assessment methodologies of academic and research institutions, NGOs, and sectoral ministries @ 40,000\$. This includes the mobilization of an international consultant, a national consultant for 30 days and travel costs.</p>
3	<p>Service contracts for a climate Change Policy Expert (SB5) to act as project manager @ \$55,000/y split across Outcomes 1, 2 and 3, an Expert on Public finance management (SB4) @ \$38,000/y, split across Outcomes 1 and 2, a Climate science/vulnerability expert (SB4) @ 38,000/y split across Outcomes 1 and 2</p>
4	<p>4 validation workshops (50 person search - \$7,500 x 4) for the three VA and the economic model, two training workshops ( for 20 persons each \$10,000 x 2) on the use of economic model, three validation workshops for the prioritization of adaptation options (55 person each - \$8,000*3)</p>
5	
6	



7	Printing and communications costs.
8	Inflation, currency exchange fluctuations, miscellaneous and other uncontrollable factors that would affect nominal cost projections
<b>Outcome 2</b>	
9	One international climate finance expert to oversee the development of guidelines 40 days @ \$650/d 1 local public finance management specialist for the development of a tool to monitor CCA mainstreaming into budget for 30 days @ \$300/day and 5 days for the training @ \$300/day. Total 35 days x 300\$.
10	1 local knowledge management expert to assess climate information needs, including the existing knowledge sharing platform for 30 days @ \$300/day 1 local IT expert to redesign of the platform and operationalization for 40 days @ \$300/day 1 local climate change policy expert and 1 specialist of public finance, each for 60 days@300\$/day to accompany the formulation of the guidelines (30 days), and the 5-sectoral planning, sub-programmes (actions) for 30 days. Total 60 days/expert @300\$/day 1 local CC policy expert and 1 specialist in local Finance and decentralization, each for 20days@300\$/day to draft the PAI-CC guidelines, and 8 days@300\$/day for the trainings (2 days per training). Total 28 days x 300\$ per expert. 1 local CC policy expert and 1 Public policy expert, each for 20days@300\$/day to provide assistance to the parliamentary committees for the review of the Climate Change Law, and 15 days each for the 3 trainings. Total 35 days/expert @300\$/day
11	Travel costs for PMU, national and international experts: 1 flight @ \$1500, 10* \$224; transportation @ \$500*4, 20* \$100
12	Institutional contract for an NGO/research Institution for Enhancing institutional and technical capacities of municipalities, lump sum amount of 38,988\$. It includes the mobilization of an international consultant and associated travel missions. 6 CNCC meetings @2000\$/meeting
13	1 CNCC training workshop (20 persons) on the use of tools developed@7000\$ 1 technical validation meeting of the Triennial Climate Change Expenditure Programming Document (DPTD-CC) @7000\$ (45 persons) 6 training meetings (20 persons each) targeting on the use of the DPTD-CC@7000\$ each 1 high level meeting on the 2019-2021 Triennial Climate Change Expenditure Programming Document (DPTD-CC) @7500\$ (50 persons) 3 high-level consultation with municipalities on the PAI-CC@6500/meeting (40 persons) 1 high level meeting on the Climate Change law validation @7500\$ (50 persons) 3 training workshops (20 persons each) for MP@7000\$/meeting Three training workshops (20 persons each) on PAI-CC for municipalities @6000\$/training Four training workshops (20 persons each) for municipalities on resource mobilization, project management, M&E and knowledge management@6000\$/training
14	Printing and communications costs.
<b>Outcome 3</b>	
15	1 International tax expert for 40 days @ \$600/day for the identification of innovative local funding mechanisms



	1 International consultant for the final independent evaluation 30 days @\$600/day
	1 International project development expert 30 days @\$600/day
	1 local environmental economist for 40 days @ \$300/day for identification of innovative local funding mechanisms
16	1 local private sector specialist and 1 CC policy expert, each for 40 days@300\$/day for the mapping of private sector needs
	1 local climate change and agriculture specialist, for 40 days@300\$ for the development of an idea note
17	Travel costs for 3 international experts flight@\$1500*3+3*10days*\$224/day, travel costs for 1 PMU to international conference, flight @\$1500+10days*\$250
	2 validation workshops for the identification of innovative local funding mechanisms, and the identification of private sector needs@5000\$/workshop (30 persons each)
	2 consultations (one with the civil society organizations, and a high-level consultation with decision-makers@7500\$/meeting (50 persons each)
18	5 bilateral meetings@1000\$/each
	2 public private platforms meetings@2250\$/each (30 persons each)
19	Printing and communications costs.
	<b>PMC</b>
20	Service contract for a Financial and Administrative Assistant (\$83) @ approx. \$25,000/y
21	Travel for the Financial and Administrative Assistant
22	Project audit will be conducted by external audit firm, hired competitively
23	Office Supplies
24	4 laptops and accessories (\$1200/each), 1 printer (\$1000), ink/toner (\$500) + \$750 for toner
25	Office furniture and maintenance
26	Inception meeting @\$5,000 and other PM meetings 6*\$500

## Legal Context

12. This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Benin and UNDP, signed on 18 January 1974. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”
13. This project will be implemented by UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.
14. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

## Risk Management

### UNDP (DIM)

15. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
16. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
17. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
18. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
19. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.



20. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

1. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
  1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  2. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
3. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
4. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
5. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
6. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of



Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

7. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

8. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
9. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
10. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

#### Mandatory Annexes

The following documents are mandatory annexes and must be included as part of the final project document package. Links can be provided to these documents if they have been posted to the UNDP GEF PIMS and [open.undp.org](http://open.undp.org).



1. GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP
2. GCF approval letter
3. Timetable of project implementation (GANTT chart)
4. Procurement Plan
5. Terms of References for Project Board and Project Team/PMU
6. UNDP Risk Log
7. UNDP Project Quality Assurance Report
8. Section 2 of the GCF Readiness Support Interim Progress Report Template

Annex A: GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP

Link to proposal : [GCF Readiness Proposal NAP - Benin.](#)



Annex B: GCF approval letter



**GREEN  
CLIMATE  
FUND**

Mr. Martin Pépin Aina  
Director General  
Division of Climate Change  
Ministry of Living Environment and  
Sustainable Development  
01 BP 3502 - 01 BP 3621, Cotonou  
Republic of Benin

**COUNTRY PROGRAMMING**

Date : 13 February 2019  
Reference : DCP/2019/068  
Page : 1 of 1

**Subject: Notification of Approval on Readiness and Preparatory Support Programme Proposal  
for the Green Climate Fund**

Dear Mr. Aina,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Republic of Benin, initially submitted on 28 July 2017. This proposal is in accordance with the terms of the *Framework Readiness and Preparatory Support Grant Agreement*



## ANNEX C: TIMETABLE OF PROJECT IMPLEMENTATION (GANTT CHART)

Activity	Milestones	Q1			Q2			Q3			Q4			Q5			Q6		
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18
<b>Outcome 1</b>																			
Sub-outcome 1.1. An integrated economic assessment tool to inform budgeting processes is operational																			
Activity 1.1.1	1. Report on economic impacts is validated																		
Activity 1.1.2	2. Training workshops are conducted																		
Sub-outcome 1.2. Climate risks and vulnerability assessments are conducted in the urban planning and infrastructure, energy and forestry sectors																			
Activity 1.2.1	1. 3 Climate risks and vulnerability assessment validated																		
Activity 1.2.2	2. 2 training workshops completed																		
Sub-outcome 1.3. Adaptation options are prioritised for the urban planning and infrastructure, forestry, and energy sectors, and compiled as part of the NAP drafting																			
Activity 1.3.1	3. 3 studies validated																		
Activity 1.3.2	4. NAP sections on 3 sectors drafted																		
<b>Outcome 2</b>																			
Sub-outcome 2.1. The tracking of CCA interventions and budget expenditures will be strengthened through budget tracking tools and an enhanced information platform																			
Activity 2.1.1.	5. CNCCC meeting																		
	6. CNCC Training conducted																		
Activity 2.1.2	7. Agreements signed between the Directorate-General of the Environment and Climate (DGEC) and information providers																		
	8. 2 webinars completed																		
Sub outcome 2.2: Climate Change Budgeting guidelines are developed and CCA is integrated into multiannual and annual budgets in pilot ministries and municipalities																			
Activity 2.2.1	9. DPTD-CC Guidelines validated																		







Annex D: Procurement Plan

Procurement Plan						
<p><i>For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below. Also, please feel free to replicate this table on Excel spreadsheet if needed.</i></p>						
ITEM	ITEM DESCRIPTION	ESTIMATED COST (US \$)	PROCUREMENT METHOD	THRESHOLDS <i>(Min-Max monetary value for which indicated procurement method must be used)</i>	ESTIMATED START DATE	PROJECTED CONTRACTING DATE
<b>Goods and Non-Consulting Services</b>						
Service Contract	1 Climate Change Policy Specialist (Project Manager)	82,500.00	Test & interview – Competitive Sourcing		Q1/Y1	Q1/Y1
Service Contract	1 Specialist on Public finance management	57,000.00	Test & interview – Competitive Sourcing		Q1/Y1	Q1/Y1
Service Contract	1 Climate science/vulnerability specialist	57,000.00	Test & interview – Competitive Sourcing		Q1/Y1	Q1/Y1
Service Contract	1 Administrative and financial assistant	37,494.00	Test & interview – Competitive Sourcing		Q1/Y1	Q1/Y1
Office supplies	Office supplies	5,000.00	Desk Review – Competitive Sourcing		Q1, 2, 3/Y1; Q1, Q2/Y2	Q1, 2, 3/Y1; Q1, Q2/Y2
Contractual Services – Company	Firm for conducting the development and operationalisation of a national model integrating sectoral models of the economic impacts of climate change	140,000.00	Request for quotation/ Request for proposal		Q2/Y1	Q1/Y2
Contractual Services – Company	Institutional contract for an NGO/research Institution for building capacity on vulnerability assessment methodologies of academic and research institutions, NGOs, and sectoral ministries	40,000.00	Local Advertisement		Q2/Y1	Q2/Y1

Contractual Services – Company	Institutional contract for an NGO/research Institution for Enhancing institutional and technical capacities of municipalities	38,988.00	Request for quotation/ Request for proposal		Q3/Y1	Q4/Y1
Professional services	External audit	4,000.00	Request for quotation/ Request for proposal		Q2/Y2	Q2/Y2
IT Equipment	4 laptops, 1 scanner/printer, 1 copy machine	7,050.00	Desk Review – Competitive Sourcing		Q1/Y1	Q1/Y1
Equipment and furniture	Office equipment and maintenance	2,688.00	Desk Review – Competitive Sourcing		Q1/Y1	Q1/Y1
Audio-visual & Print Prod Cost	Printing materials	4,500.00	Micro-purchasing		Q1, 2, 3/Y1; Q1, Q2/Y2	Q1, 2, 3/Y1; Q1, Q2/Y2
SUB-TOTAL (US \$)		476,220.00				
<b>Consultancy Services</b>						
International consultant	Expert on infrastructure/urban planning and climate change for the VA	30,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
International consultant	Expert on agroforestry and climate change for the VA	30,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
International consultant	Expert on renewable energy and climate change for the VA	30,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
International consultant	1 Tax expert for the identification of innovative local funding mechanisms	24,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y1
International consultant	Evaluation specialist for the final evaluation	18,000.00	Desk Review – Competitive Sourcing		Q2/Y2	Q2/Y2
International consultant	Climate Finance Expert	26,000.00	Desk Review – Competitive Sourcing		Q2/Y2	Q2/Y2
International consultant	Project Development Expert	18,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q1/Y2
National consultant	1 climate science expert for the VA	40,500.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 socio economist for the VA	40,500.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 gender expert for the VA	22,500.00	Desk Review – Competitive		Q1/Y1	Q3/Y1



			Sourcing			
National consultant	1 civil engineer expert	27,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 urban planning expert for VA and prioritisation	13,500.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 agroforestry specialist for VA and prioritisation	27,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 Renewable Energy Specialist for VA and prioritisation	27,000.00	Desk Review – Competitive Sourcing		Q1/Y1	Q3/Y1
National consultant	1 climate change policy specialist	18,000.00	Desk Review – Competitive Sourcing		Q2/Y2	Q2/Y2
National consultant	1 public finance management expert	10,500.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y1
National consultant	1 knowledge management expert	9,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q2/Y1
National consultant	1 IT	12,000.00	Desk Review – Competitive Sourcing		Q3/Y1	Q3/Y1
National consultant	1 climate change policy expert	18,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y1
National consultant	1 public finance specialist	18,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y1
National consultant	1 climate change policy expert	8,400.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y2
National consultant	1 local finance and decentralisation specialist	8,400.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y2
National consultant	1 CC policy expert	10,500.00	Desk Review – Competitive Sourcing		Q1/Y1	Q1/Y1
National consultant	1 Public policy expert	10,500.00	Desk Review – Competitive Sourcing		Q1/Y1	Q1/Y1
National consultant	Environmental economist	12,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y2
National consultant	Private sector specialist	12,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y2

National consultant	Climate change policy and Agricultural specialist	12,000.00	Desk Review – Competitive Sourcing		Q2/Y1	Q3/Y2
SUB-TOTAL (US \$)		533,300.00				
TOTAL (US \$)		1,009,520.00				



## Annex E: Terms of References for Project Board and Project Team/PMU

### 1. **Administrative and Financial Assistant (as part of the PMU); SB3 Service Contract @ USD 25,000/year.**

For assistance in day-to-day operations of the project, as related to missions, organizations of workshops and meetings. Responsibilities include (but are not limited to):

1. Provide logistical support to the team and ICs in organizing training events, workshops and global meetings.
2. Assist international, short-term consultants by organizing their travel schedules, arranging meetings with different stakeholders and booking hotel accommodations.
3. Draft necessary correspondence with local and international agencies and stakeholders.
4. Assist in the timely issuance of contracts and assurance of other eligible entitlements of the project personnel, experts, and consultants by preparing annual recruitment plans.
5. Prepare financial status reports, progress reports, and others
6. Process payment requests for settlement purpose, including quarterly advances to the partners.
7. Prepare financial reports and documents as per specified formats, project, programme plans and general reference documents and general administrative/financial or specialized tasks related to the project which may be of a confidential nature within the assigned area of responsibility.
8. Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenses.
9. Provide other substantive support to the team for overall implementation.

### 10. **Climate Change Policy Expert (SB5) to act as project manager @ \$55,000/y**

Responsibilities include (but are not limited to):

11. Overall management of the project implementation, team and tracking of timeline and budget,
12. Stock taking of existing initiatives and policies to determine entry points and gaps for integrating CCA, and capacity assessment of CCA planning in priority sectors,
13. Facilitate the organization of NAP orientation sessions bringing together UNFCCC, focal points, ministries and representatives of different sectors,
14. Provide guidance to consultants preparing funding proposals for GCF,
15. Oversee the understanding and applicability of climate tools in understanding risks, and prioritizing them in policies and activities for all staff,
16. Oversee the organization of national consultative dialogues to validate roadmap involving relevant ministries as well as CSOs, community-based organizations,
17. In close collaboration with the Climate Science expert, oversee the capacity building of academic and research institutions, NGOs, and sectoral ministries on climate risks and vulnerability assessment methodology,
18. Oversee the formulation of the NAP document,
19. Oversee the report on the NAP progress which is submitted to UNFCCC.

### 20. **Climate Science Expert; SB4 @ USD 38,000/year.**

To be hired to assist in the training of technical staff and public service officers supporting CCA activities in different and relevant ministries, and other institutions, local governments, etc. Responsibilities will include (but are not limited to):

21. Oversee the climate risks and vulnerability assessments in priority sectors,
22. Provide technical support to consultants preparing funding proposals for GCF,

23. Support the capacity building of academic, research institutions, NGOs and sectoral ministries on climate risks and vulnerability assessment methodology,  
Conduct the prioritization of adaptation options in the priority sectors,
24. Contribute to the NAP formulation document based on identified adaptation options in the three sectors of urban planning and infrastructure, forestry and energy.

**25. Public Finance Management Expert; SB4 @ USD 38,000/year.**

Responsibilities include (but are not limited to):

26. Prepare review of institutional framework for climate change adaptation planning, budgeting and integration into national, sectoral and provincial processes,
27. Lead the development of economic assessment tools on climate change impacts to inform budgeting processes in priority sectors,
28. Lead the development of budget tracking tools and enhanced information platform,
29. Oversee the preparation of guidelines to integrate CCA into multi-annual and annual budget in pilot ministries and municipalities,
30. Oversee the creation of a framework for fiscal incentives to expand FNEC's resources,
31. Support the prioritization of adaptation options in the sectors of urban planning and infrastructure, forestry and energy,
32. Support the reinforcement and equipment of the existing coordinating mechanisms with tools to track CCA integration into budgeting at national and local level,
33. Support the reinforcement and upgrade of the existing public platform into an interactive learning tool, to strengthen the coordination of interventions, and the monitoring of CCA mainstreaming into national and local budget,
34. Lead the development of a Triennial Climate Change Expenditure Programming guideline (DPTD-CC) to feed sectoral DPPD,
35. Enhance technical capacities of municipalities, the Municipalities Development Support Fund (FADeC), the Directorate of Management of local authorities, and local NGOs, on integration of climate change adaptation into annual investment plans (PAI), resource mobilisation and project management, M&E and knowledge management.



## Annex F: UNDP Risk Log

### Risks and Assumptions:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher).

**Table: Project Risks**

Project risks			
Description	Impact & Probability (1-5)	Mitigation measures	Responsibility
Duplication of efforts between the project and the existing NAP support initiatives, in particular the GIZ initiative	Impact: 3 Probability: 1	Several meetings have been held between the GIZ initiative, UNDP and the DGEC, during the consultation process to delineate the intervention of each initiative. During the implementation phase, a joint technical committee with GIZ initiative will be established under the supervision of the DGEC, to provide overall guidance to the project, and recommendations to the Project Board approval.	<i>DGEC, UNDP, PMU</i>
Lack of collaboration of key ministries involved in the planning and budgeting processes (Ministry of finance and planning; planning unit of sectoral ministries)	Impact: 3 Probability: 1	The implementation arrangements consider the DGPD, the DGB, and the CMEICB as operational partners. They will closely collaborate with the DGEC on activities related to the mainstreaming of CCA into development planning. Operational partnership agreements will be signed between them, UNDP, and the MCVDD.	<i>MCVDD, UNDP, PMU</i>
Limited capacity of technical institutions, and municipalities to support adaptation planning and use of tools developed throughout the project implementation	Impact: 4 Probability: 2	The GIZ initiative and the Green Climate Fund Readiness Programme supported the development of capacities of technical and local actors and established the foundations for adaptation planning. Additional capacity building activities will be provided by the project to ensure the effective use of tools developed.	<i>PMU</i>

<p>Limited capacity of the FNEC to engage private sector, as a potential financier of adaptation projects, and to ensure the buy-in of environmental taxes by the government</p>	<p>Impact: 3 Probability: 2</p>	<p>FNEC's institutional capacities are being strengthened by the GIZ initiative and the Green Climate Fund Readiness Programme to overcome structural gaps observed for an effective deployment. The project will build on such structural support to expand the FNEC deployment to the private sector. The mobilization of the civil society, by the project, to advocate for fiscal reforms is expected to facilitate the reforms' buy-in by decision-makers.</p>	<p><i>PMU</i></p>
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PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL					
OVERALL PROJECT					
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○	
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.	
DECISION					
<p>1. <b>APPROVE</b> – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.</p> <p>2. <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</p> <p>3. <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</p>					
RATING CRITERIA					
STRATEGIC					
<p>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</p> <p>1. <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</p> <p>2. <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</p> <p>3. <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.</p> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>				3	2
				1	
				<p><b>2</b></p> <p>Evidence Project Document Section III</p>	
<p>4. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</p> <p>5. <b>3:</b> The project responds to one of the three areas of development work<sup>28</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>29</sup>; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></p> <p>6. <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></p>				3	2
				1	
				<p><b>2</b></p> <p>Evidence Project</p>	

28 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

29 sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience



<p>7. <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</p>	<p>Document Section III</p>								
<p><b>RELEVANT</b></p>									
<p><b>8. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <p>9. <b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i></p> <p>10. <b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i><b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</p> <p><i>*Note: Management Action must be taken for a score of 1, or select not applicable.</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;">3</td> <td style="width: 30px; text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2"> <p><b>Evidence</b> Project Document Sections III and IV</p> </td> </tr> </table>	3	<u>2</u>	1		<u>2</u>		<p><b>Evidence</b> Project Document Sections III and IV</p>	
3	<u>2</u>								
1									
<u>2</u>									
<p><b>Evidence</b> Project Document Sections III and IV</p>									
<p><b>11. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <p>12. <b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.</p> <p>13. <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.<b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</p> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;">3</td> <td style="width: 30px; text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2"> <p><b>Evidence</b> Project Document Section IV</p> </td> </tr> </table>	3	<u>2</u>	1		<u>2</u>		<p><b>Evidence</b> Project Document Section IV</p>	
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<p><b>Evidence</b> Project Document Section IV</p>									
<p><b>14. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <p>1. <b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></p> <p>1. <b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></p> <p>2. <b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</p> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;">3</td> <td style="width: 30px; text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><u>2</u></td> </tr> <tr> <td colspan="2"> <p><b>Evidence</b> Project Document Section IV</p> </td> </tr> </table>	3	<u>2</u>	1		<u>2</u>		<p><b>Evidence</b> Project Document Section IV</p>	
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<u>2</u>									
<p><b>Evidence</b> Project Document Section IV</p>									



<p><b>3. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <p>4. <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (<i>all must be true to select this option</i>)</p> <p>5. <b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.<b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</p> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td><b>3</b></td> <td><b>2</b></td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td><b>3</b></td> <td></td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>3</b>		<p><b>Evidence</b></p> <p>Project Document Section II and IV</p>
<b>3</b>	<b>2</b>							
1								
<b>3</b>								
<b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>								
<p><b>6. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <p>1. <b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (<i>all must be true to select this option</i>)</p> <p>2. <b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</p> <p>3. <b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</p> <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td><b>3</b></td> <td><b>2</b></td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td><b>2</b></td> <td></td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>2</b>		<p><b>Evidence</b></p> <p>Project Document Section III</p>
<b>3</b>	<b>2</b>							
1								
<b>2</b>								
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <p>4. <b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (<i>all must be true to select this option</i>).</p> <p>5. <b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</p> <p>6. <b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</p> <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td><b>3</b></td> <td><b>2</b></td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td><b>3</b></td> <td></td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>3</b>		<p><b>Evidence</b></p> <p>Project Document Section VI</p>
<b>3</b>	<b>2</b>							
1								
<b>3</b>								
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or</b></p>	<table border="1"> <tr> <td>Yes</td> <td><b>No</b></td> </tr> <tr> <td colspan="2">Does not</td> </tr> </table>	Yes	<b>No</b>	Does not				
Yes	<b>No</b>							
Does not								



communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]	apply to GCF Readiness NAP projects
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## MANAGEMENT & MONITORING

<p><b>1. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p> <p>2. <b>3:</b> The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i></p> <p>3. <b>2:</b> The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i><b>1:</b> The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</p> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	3	<u>2</u>	1	
			<b>2</b>	<b>Evidence</b> Project Document Section VI

<p><b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b></p>	Yes (3)	No (1)
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<p><b>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b></p> <p>4. <b>3:</b> The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>.</p> <p>5. <b>2:</b> The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i><b>1:</b> The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</p> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	<u>3</u>	2	1	
			<b>3</b>	<b>Evidence</b> Project Document Sections V and VIII

<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b></p> <p>6. <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></p> <p>7. <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.<b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</p> <p><small>*Note: Management Action must be taken for a score of 1</small></p>	3	<u>2</u>	1	
			<b>2</b>	<b>Evidence</b> Project Document Section IV and Annex E



EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	Yes (3)	No (1)
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	Yes (3)	No (1)
16. Is the budget justified and supported with valid estimates?	3	<u>2</u>
8. <u>3</u> : The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.	1	
9. <u>2</u> : The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. <u>1</u> : The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	<u>2</u>	
	Evidence Project Document Sections IX and X	
1. Is the Country Office fully recovering the costs involved with project implementation?	3	<u>2</u>
1. <u>3</u> : The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)	1	
2. <u>2</u> : The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. <u>1</u> : The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.	<u>2</u>	
*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.	Evidence Project Document Sections IX and X	
EFFECTIVE		
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):	<u>3</u>	2
3. <u>3</u> : The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)	1	
4. <u>2</u> : The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. <u>1</u> : The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.	<u>3</u>	
*Note: Management Action or strong management justification must be given for a score of 1	Evidence Readiness Framework Grant Agreement	



between UNDP and Donor (GCF) + No implementing partner

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?

1. 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.
2. 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.
3. 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.

<u>3</u>	<u>2</u>
1	
<u>3</u>	
<b>Evidence</b>	
Project Document Sections III and IV	

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

Yes	No
(3)	(1)

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

\*Note: Management Action or strong management justification must be given for a score of "no"

Yes	No
(3)	(1)

**Evidence**  
Project Document Section IV

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):

4. 3: The project has a realistic work plan & budget covering the duration of the project *at the activity level* to ensure outputs are delivered on time and within the allotted resources.
5. 2: The project has a work plan & budget covering the duration of the project at the output level.1: The project does not yet have a work plan & budget covering the duration of the project.

3	<u>2</u>
1	

2  
**Evidence**  
Project Document Section X

### SUSTAINABILITY & NATIONAL OWNERSHIP

23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):

6. 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.
7. 2: The project has been developed by UNDP in close consultation with national partners.
8. 1: The project has been developed by UNDP with limited or no engagement with national partners.

3	<u>2</u>
1	

2  
**Evidence**  
Project



	Document Sections III and IV	
<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <p>9. <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</p> <p>10. <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</p> <p>11. <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</p> <p>12. <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</p> <p>13. <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</p>	3	<u>2.5</u>
	2	1.5
	1	
	<p><b>2.5</b></p> <p><b>Evidence</b> Project Document Section IV</p>	
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	Yes (3)	No (1)
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>	Yes (3)	No (1)

Annex H: Section 2 of the Readiness Support Interim Progress Report Template

**SECTION 2 of the GCF READINESS SUPPORT INTERIM PROGRESS REPORT TEMPLATE**

This section requires an update on progress in implementing the planned Readiness activities. Any draft to the expected output should be submitted with progress report.

Progress is reported for the period (should be consistent with section 1.8)

From: Click or tap to enter a date. To: Click or tap to enter a date.

**Outcome 1:**

Outcome narrative: Please provide a brief summary of the outcome achieved.

Outputs	Baseline summary	Activities	Targets achieved	Indicators	Milestones and deliverables achieved <sup>30</sup>	Variance explanation	Qualitative assessment of activities undertaken	Planned activities and corresponding deliverables/milestones for the next reporting period
	Please provide a brief summary of the baseline scenario at the proposal stage.		Please rate the status of targets achieved through activities undertaken during the reporting period, against the baseline and the proposed targets in the proposal.	Based on your approved proposal, please outline the key indicators.	Please state the milestones and deliverables achieved as agreed in Grant Agreement.	In this column, identify and explain the reasons for the difference, if any, between a planned activity and the corresponding actual activity that took place during the reporting period.	In this column, summarize some of the qualitative results achieved through activities undertaken during the reporting period.	Please highlight activities, deliverables and milestones planned for the next reporting period and indicate any modifications that might be made from the original implementation plan. Also, indicate any corrective actions that need to be taken up to address impediments that emerged in the reporting period.
1.1								
1.2								
1.3								



Annex I: Matrix Of Complementarity Of NAP-Support Initiatives In Benin

	Science-based support for national Adaptation Plan (NAP) processes in francophone Least Developed Countries (LDCs) of Sub-Saharan African –GIZ	Green Climate Fund Readiness Programme (GCFRP)	Relevant outputs, information gaps, and how the GCF NAP support will build on these projects
Improving the information base	<p>1. Assess existing scientific information (Impact, risks/vulnerability, options for adaptation)</p> <p>2. Conduct climate impact and risk and vulnerability analysis, and identification of adaptation options:</p> <p>1. Agriculture: agro-ecological area 5 (South Borgu)</p> <p>2. Water resources: Ouéme river basin</p> <p>3. Health: ABD (Adjohoun, Bonou, Dangbo) and PAS (Porto-Novo, Aguégués, Sèmè). The inception workshop was held in March 2018. Risks and vulnerabilities assessments will be completed in September 2018.</p>	<p>4. Climate risks and vulnerability assessments have been conducted on agriculture and water resources in Grand-Popo (agro-ecological area 8) and Boukombe (agro-ecological area 5)</p>	<p>5. Adaptation options have been identified in three sectors to pilot CCA mainstreaming into budgeting through the Triennial Climate Change Expenditure Programming Document, and the climate change annual investment plan model developed (see sub-outcome 2.2).</p> <p>6. The project will support climate risks and vulnerability analyses in PAG priority sectors on urban planning and infrastructure, energy and forestry.</p>
Capacity Development	<p>1. In 2017, a capacity need assessment was conducted.</p> <p>2. Include national scientific institutions in the stocktaking of existing and planned initiatives and relevant scientific publications related to climate change.</p> <p>3. Strengthen the NAP roadmap by integrating scientific results.</p>	<p>4. Strengthen the capacities of government bodies on project development, and M&amp;E of progress against predefined indicators.</p> <p>5. Identify appropriate tools for integrating climate-related costs and benefits into decision making and build capacities on cost and benefit analysis.</p> <p>6. Strengthen the technical capacities of the CMEICB members, and ministerial planning units.</p>	<p>7. Build on the capacity need assessment, to fine-tune the CD activities provided (sub-outcome 2.3), and capitalise on the critical mass of expertise created by the two projects (sub-outcome 1.2 and 2.3)</p> <p>8. Strengthen project budgeting.</p>
Coordination	<p>9. Supporting the establishment of coordination and consultation</p>	<p>10. Perform an assessment of the</p>	<p>12. The project will rely on the CNCC and</p>

	structures with inter-ministerial, civil society, private sector and scientific institutes. The project has helped operationalise the CNCC and three meetings took place in 2017.	11. current structure of the National Climate Change Committee (CNCC). A Climate Change Law was drafted for Parliamentary review.	13. CPEIR assessments, to support the monitoring and budgeting processes (see sub-outcome 2.1) The project supports the legislative process to foster the adoption of the law on climate change, through its review by the parliamentary committees (sub-outcome 3.2.)
Climate Change Adaptation Mainstreaming	<ol style="list-style-type: none"> <li>1. Mainstreaming adaptation into existing policies, strategies, programmes and institutions: the project has contributed to the updating of the National Development Plan in 2017.</li> <li>2. Implementing pilot adaptation measures with high potential in 3 priority sectors and geographical areas.</li> <li>3. Identifying and prioritising additional adaptation measures in private and public sectors for national and international financing. This will follow vulnerability assessments conducted in 2018.</li> <li>4. Support to the development of the NAP reference document (2019).</li> </ol>	<ol style="list-style-type: none"> <li>5. Conduct a CPEIR as undertaken in 2017.</li> <li>6. Organise a series of stakeholder awareness workshops on climate change and the need to integrate CCA into national planning and budgeting.</li> </ol>	7. The project relies on the CPEIR results, to develop appropriate budgeting tools for CCA mainstreaming (see sub-outcome 2.2).
M&E and Knowledge Sharing	<ol style="list-style-type: none"> <li>1. Supporting the monitoring, evaluation and updating of the planning process.</li> <li>2. Establishing a regional francophone NAP platform (including online tools) between Benin and Senegal.</li> <li>3. Using a wide-range of exchange formats for different stakeholders.</li> <li>4. Providing feedback on international climate change adaptation negotiations and exchanging continuously with NAP-LEG (+ NAP-GSP, NAP-</li> </ol>	5. Develop a website on climate change and strengthen administrators on its management.	<ol style="list-style-type: none"> <li>6. The project will expand the website developed under the GCFRP project to serve as a key learning tool (see 2.1.2), linked to GIZ's regional francophone NAP platform.</li> <li>7. The contribution of the project to the adaptation M&amp;E mechanism (to be established under the GIZ initiative) will be specifically on the monitoring of CCA</li> </ol>



	Expo, etc.).		budgeting.
Financing	<p>8. Improving capacities for international climate financing access including trainings on financing conditions and acquisition support.</p> <p>9. Supporting the NAP funding strategy:</p> <p>1. Needs and capacity assessment that promotes a strategic perspective on the entire NAP process</p> <p>2. Identification of underfunded NAP priorities</p> <p>3. Call for proposal (project ideas)</p> <p>10. Activities under this outcome are limited. The project will undertake a stocktake of existing initiatives in 2018.</p>	<p>11. Support the FNEC in building required capacities to direct access (GCF).</p> <p>12. Support the National Commission of Local Finance (CONAFIL-FADEC) in its competence relating to climate change financing activities at the local level.</p> <p>13. Establish a system to track and record information on international sources of climate finance.</p>	<p>14. Will support the FNEC to expand access to local resources (innovative eco-taxes) and partnership with the private sector (see sub-outcome 3.1 and 3.2).</p> <p>15. Will build on the stocktake of adaptation projects identified under GIZ's project.</p>