

United Nations Development Programme

Country: Thailand
PROJECT DOCUMENT¹



Project Title: Strengthening the Capacity of Vulnerable Coastal Communities to address the Risk of Climate Change and Extreme Weather Events

UNPAF Outcome(s): 2) Sub-national administrations respond effectively to people's rights in a participatory and transparent manner, based on quality data and evidence-based planning; 4) Improved sustainable utilization and management of natural resources and environment at the community and national policy levels;

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Promoting climate change adaptation

Expected CP Outcome(s):

1. Improved responsiveness and quality of social services at sub-national level of achievement of MDG Plus
2. Enhanced local democracy and meaningful participation of civil society, especially women and youth, in decision-making
3. Efficient community network in sustainable use of local natural resources and energy with engagement in policy and decision-making processes
4. Increased capacity of national focal points in addressing policy barriers to local sustainable management of natural resources and environment in selected ecosystems
5. Alternative knowledge management for community learning based on indigenous livelihoods and evidence-based empirical studies that strengthen case for pro-poor policies.

Expected CPAP Output (s) to achieve MDG Plus

1. Strengthened capacity of local administrative organizations to support participator planning and mainstream social development and community plans, particularly of vulnerable groups, into broader planning processes
2. Civil society actors including vulnerable groups with increased awareness and legal knowledge about their rights
3. Demonstration of co-management mechanisms and practices between CBOs and government authorities with policy support and budget for local sustainable development initiatives
4. Improved availability of data at national and sub-national levels to support evidence-based planning, policy and decision-making
5. Dissemination of good practices on sustainable natural resource management and use
6. A knowledge system that integrates scientific and indigenous knowledge and is accessible to community networks and policy makers.
7. A knowledge management mechanism and facilities available for community learning, sharing experiences and networking

Executing Entity/Implementing Partner: Thai Red Cross Society (TRCS), in collaboration with Department of Disaster Prevention & Mitigation (DDPM)/Ministry of Interior and Sustainable Development Foundation (SDF)

Implementing Entity/Responsible Partners:

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Total allocated resources:	US\$3,573,863
• SCCF	<u>US\$ 869,091</u>
• Co-financing:	
o TRCS (in-kind & parallel)	US\$1,792,950
o UNDP (parallel)	US\$ 552,822
o SDF (parallel)	US\$ 359,000
Total Co-financing	<u>US\$2,704,772</u>

¹ For UNDP supported GEF funded projects as this includes GEF-specific requirements

Agreed by TRCS:



Mr. Phan Wannamethee, Secretary General

SIGNATURE

Date/Month/Year

Agreed by Department of Disaster Prevention and Mitigation, Ministry of Interior:



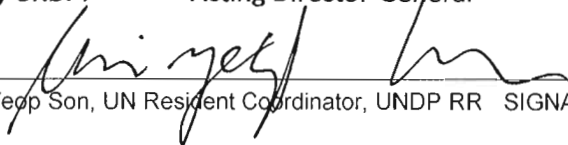
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Brief Description

Coastal communities in southern Thailand are amongst the most vulnerable to climate change impacts. Over recent decades, tropical storms, cyclones, floods and coastal erosion have become more frequent and severe, with increasing loss of life and damage to livelihoods, property and infrastructure. Climate change is projected to aggravate existing problems through increased frequency and intensity of existing climate hazards and rising sea levels. A key underlying driver of coastal communities' vulnerability to climate change is that those whose livelihoods and immediate wellbeing are most directly dependent on coastal and marine resources do not generally participate actively in decisions concerning coastal zone management and development. Additionally, local communities often lack the knowledge and skills needed to engage effectively in policy advocacy, particularly in the context of climate change adaptation. At the policy level, although climate change adaptation is a key priority of the National Strategy on Climate Change Management, there is limited experience on the ground of how to identify and support viable community-based climate change adaptation options.

The proposed SCCF project will develop mechanisms for communities to identify and articulate their climate risk reduction priorities, with the aim of obtaining sustainable financing for concrete adaptation proposals from provincial and subdistrict government budgets in three southern provinces and five subdistricts. Capacity for analyzing, prioritizing and implementing climate change risk reduction measures will be developed among key stakeholder groups, including local communities and governments. The project will seek the integration of climate change risks into existing disaster risk management policies and programmes. Most significantly, the project will generate an invaluable body of knowledge and experience on how coastal communities in Thailand can make use of new opportunities to influence public and private investment to promote demand-driven, sustainable and climate resilient development. Lessons learned and adaptation knowledge generated through the project will be systematically analyzed and disseminated both nationally and internationally through a variety of mechanisms, with particular emphasis on cross-community and cross-sector learning.

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List of Acronyms & Abbreviations

ADPC	Asian Disaster Preparedness Centre
AIT	Asian Institute of Technology
ALM	Adaptation Learning Mechanism
ADPC	Asian Disaster Preparedness Centre
APR	Annual Progress Report
AWP	Annual Workplan
CARE	Christian Action Research and Education
CBA	Community Based Adaptation
CBO	Community Based Organization
CBDRM	Community-based Disaster Risk Management
CBDRR	Community-based Disaster Risk Reduction
CCA	Climate Change Adaptation
CCKMC	Climate Change Knowledge Management Centre
CCR	Climate Change Risk
CO	Country Office (of UNDP)
CP	Country Programme
CPAP	Country Programme Action Plan
CSO	Civil Society Organization
DDPM	Department of Disaster Prevention and Mitigation, Ministry of Interior
DG	Director General
DMCR	Department of Marine and Coastal Resources, MONRE
DRM	Disaster Risk Management
DPM	Disaster Prevention and Mitigation
ERC	Evaluation Resource Centre (of UNDP)
GDP	Gross Domestic Product
GEF	Global Environment Facility
HAI	Human Achievement Index
IFRC	International Federation of Red Cross and Red Crescent Societies
INC	Initial National Communication

MFF	Mangroves For the Future
M&E	Monitoring & Evaluation
MOAC	Ministry of Agriculture and Cooperatives
MOI	Ministry of Interior
MONRE	Ministry of Natural Resources and Environment
MOST	Ministry of Science & Technology
MTE	Mid-term Evaluation
NCB	National Coordinating Body
NCCC	National Climate Change Committee
NEB	National Environment Board
NESDP	National Economic and Social Development Plan
NGO	Non-governmental Organization
NPD	National Project Director
NPM	National Project Manager
OEPP	Office of Environmental Policy & Planning, Ministry of Science, Technology & Environment
ONEP	Office of Natural Resources and Environmental Policy and Planning, MONRE
OTOS	One Tambon One Search and Rescue Team
PAO	Provincial Administrative Organization
PB	Project Board
PEI	Poverty and Environment Initiative
PIMS	Project Information Management System (of UNDP-GEF)
PIR	Project Implementation Review
PONRE	Provincial Office for Natural Resources and Environment
PPG	Project Preparation Grant
PRF	Project Results Framework
PMU	Project Management Unit
QPR	Quarterly Progress Reports
RCHB	Relief & Community Health Bureau
RCU	Regional Coordination Unit (of UNDP-GEF)
RID	Royal Irrigation Department

RTA	Regional Technical Advisor (of UNDP-GEF)
RTG	Royal Thai Government
SAN	The Save Andaman Network
SCCF	Special Climate Change Fund
SDF	Sustainable Development Foundation
SEA-START	South-east Asia Global Change System for Analysis, Research and Training
SLR	Sea level rise
SNC	Second National Communication
TAG	Technical Advisory Group
TAO	Tambon Administrative Organization
Thb	Thai Baht
TOR	Terms of Reference
TRCS	Thai Red Cross Society
TST	Technical Support Team
TSWA	Thai Sea Watch Association
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNPAF	United Nations Partnership Assistance Framework
VCA	Vulnerability Capacity Assessment

1. Situation analysis

1.1. The climate change-induced problem

1. Thailand is prone to a number of climate-related risks including intense rainfall, drought, tropical storms and cyclones, windstorms and storm surges. ADPC (2007) has identified floods, drought and tropical storms as the country's most serious natural disaster risks, with floods having the highest rate of incidence. Thailand's climate is classified as tropical savannah in the mainland and tropical monsoon in the southern peninsula. Three seasons are generally recognized: the monsoon period, which runs from June to October; the cool, dry season from November to February; and the hot dry season from March to May. Mean annual temperatures vary between 22-32°C and average annual rainfall is 1,630 mm, although rainfall exceeding 2,000 mm is common in the southern peninsula (OEPP 2000). The frequency and severity of tropical storms, cyclones, flooding and drought has been increasing across the country in recent decades, with growing associated loss of life and destruction of property, infrastructure and livelihoods. Since 1950, more than 40 million people have been affected by hydro-meteorological hazards such as floods, droughts, and windstorms. Between 2001-2004, tropical storms, floods and droughts are estimated to have cost the country over US\$ 3.25 million²) as well causing over 710 fatalities and 500 injuries. Flooding was responsible for the greatest number of fatalities, while drought resulted in the highest economic losses (see Annex 1).
2. Thailand's densely populated and economically valuable coastal areas are especially vulnerable to climate-related hazards, particularly in the southern peninsula, which is bordered by the Gulf of Thailand to the east and the Andaman Sea to the west. Natural disasters are becoming more frequent and destructive in southern Thailand, as a result of heavier storms and strong winds (SDF & SEA-START 2009). Over the past 30 years, southern Thailand has had the highest rainfall in the country, as well as the longest and most intensive rainfall days, although there is variation in rainfall patterns within the peninsula (see Annex 1). Damage caused by flooding has been greatest in the southern peninsula compared to other regions.³ Increased rainfall and ocean-induced flooding are placing pressure on existing drainage and flood control facilities, while ocean-induced flooding is also causing salinisation of land and fresh water resources as well as adversely affecting natural wetlands. Coastal erosion has also become an increasingly pressing issue on both coasts, but particularly along the Gulf of Thailand, forcing the relocation of households and infrastructure, sometimes more than once. Six hundred kilometres of Thailand's coastline experience erosion levels of more than one metre annually (World Bank 2006). World Bank (2006) estimated that approximately 2 square kilometres of coastal 'real estate' valued at US\$ 156 million was being lost each year due to erosion.⁴

² US\$1 = Thb 32.47

³ ADPC 2010. <http://www.adpc.net/v2007/IKM/Country%20Profiles/Thailand/Default-Thailand.asp>

⁴ Based on the results of a 2005 study of coastal erosion rates by Chulalongkorn University

3. Climate change is expected to increase the frequency and intensity of existing climate-related hazards, as well as lead to slow-onset phenomena such as sea level rise (SLR). Climate risk analyses undertaken during the preparation of the country's Initial National Communications to the United Nations Framework Convention on Climate Change (UNFCCC) and more recently for southern Thailand suggest that the existing impacts of climate-related hazards will be intensified as a result of climate change (OEPP 2000; SDF & SEA-START 2009). These project that Thailand's coastal areas will experience the following specific climate change impacts:
 - An increase in aquatic and terrestrial pests and diseases
 - Increased frequency and severity of tropical storms
 - Increased coastal erosion caused by storms and sea level rise, including the disappearance of some beaches
 - Sea water inundation in low lying coastal areas
 - Salt water intrusion into aquifers and other freshwater resources
 - A reduction in mangrove forests with associated impacts on fish and bird species, due to sea level rise
 - Increased incidence of coral bleaching due to rises in sea surface temperatures
4. These projections have grave implications for Thailand's continued economic development and for the wellbeing of its coastal population. Many of the 13 million people living in Thailand's coastal provinces⁵, or 20% of the country's total population, rely directly or indirectly on climate-sensitive coastal and marine resources for their livelihoods, particularly in the tourism and fisheries sectors. Tourism accounts for 7% of national GDP and is a major source of both employment and foreign exchange. Although fisheries accounts for only 1% of national GDP, it is an important source of employment, particularly in coastal areas. Fisheries and fishery products also generate valuable foreign exchange. The potential devastation that could be wrought on coastal settlements and economies by natural disasters, including climate-related hazards, is well illustrated by the impacts of the December 2004 Indian Ocean Tsunami, the worst natural disaster to strike Thailand in modern history. Over 5,000 people lost their lives during the tsunami, with a further 3,000 still unaccounted for, and some 120,000 tourism-based and 30,000 fisheries-based livelihoods were lost. The total estimated damage from the tsunami, excluding damage to housing, was over US\$350 million.⁶ Among the coastal population, certain socio-economic groups, such as the small-scale and artisanal fishers and tourism operators, are particularly vulnerable to current and future climate risks.
5. A more detailed summary of the main findings of the climate risk analyses for Thailand, including southern Thailand, is provided in Annex 1.

⁵ 23 of the country's 75 provinces, excluding Bangkok, border one or other or both coasts.

⁶ <http://www.un.or.th/tsunamiinthailand/Tsunami2004anditsimpact.html>

1.2. Root causes of vulnerability to climate risks among coastal communities

6. Coastal communities are more exposed to certain kinds of climate-related risks by virtue of living and working in close proximity to the sea. However, there are a number of other factors that contribute to people's vulnerability to current and future climate risks.

1.2.1 Limitations in the Institutional and Policy Framework for Coastal Zone Management

7. A major driver of increasing vulnerability over recent decades is the prevailing pattern of land use and coastal development and the associated destruction and degradation of the coastal and marine environment. Rapid population growth, infrastructure development, urbanization and industrial development combined with the unbridled expansion of tourism and commercial fisheries, notably aquaculture, and deep sea trawling, have all contributed to reducing environmental, social and economic resilience to climate and other disaster risks in Thailand's coastal zone. Severe coastal erosion, declining ground water supplies, degradation of coral reefs, mangroves and other wetlands, declining stocks of commercial fish and other wild species are common problems along Thailand's coasts (World Bank 2006).
8. A key root cause of unsustainable coastal development is the absence of a clear institutional and policy framework for integrated coastal zone management (MFF 2008). The National Environment Board (NEB) and the national Subcommittee on Marine and Coastal Resources (SMCR) are responsible for developing coastal management policy and for ensuring the sustainable management of Thailand's coastal and marine resources, while the Department of Marine and Coastal Resources (DMRC) of the Ministry of Natural Resources and Environment (MONRE) is more directly responsible for promoting sustainable coastal management in coastal areas. However, at least 13 other ministries and departments are also involved in policy-making, planning and management in coastal areas under their respective jurisdictions. A draft National Coastal and Marine Policy prepared in 2003 and a draft Promotion of Marine and Coastal Resources Act prepared in 2006 are yet to be approved. Thus, Thailand's coastal areas continue to be governed by multiple and sometimes conflicting laws and policies that have been developed on a primarily sectoral and/or functional basis (MFF 2008). Meanwhile, local governments are starting to play a bigger role in coastal management and development as a result of the government's decentralization policies.

1.2.2 Limited Public Participation in Coastal Zone Decision-Making

9. Communities whose immediate wellbeing and livelihoods are most directly dependent on coastal and marine resources often have little involvement in government and private sector decisions concerning the coastal zone. This is partly due to the absence of effective mechanisms to ensure that community views, needs and concerns are taken into account in the development planning process. At least 3 laws contain some provision for public participation, including the 2007 Constitution, the Environmental Impact Assessment (EIA) process and the National Environmental Quality Act, but these have not been widely or sufficiently implemented to date. The National Environmental Quality Act also provides for registered NGO involvement in assisting the government implement the Act.

1.2.3 Insufficient Knowledge about Climate Change Risks and Adaptation among Local Communities and Governments

10. Although community participation is essential for the successful management of coastal and marine resources, communities often lack the knowledge and skills for effective engagement. This is particularly true in the context of climate change adaptation. While coastal communities in Thailand now have far greater awareness about natural disasters following the 2004 Indian Ocean Tsunami, particularly those living on the Andaman coast, there is still very little understanding of how climate change will affect people's lives and livelihoods. Nor is there much understanding of the factors that affect community resilience and vulnerability to climate change. Although many lessons were learned about ecosystem resilience in the aftermath of the tsunami, these have not been systematically analyzed and disseminated. Consequently, many coastal communities continue to engage in practices that may be reducing coastal resilience and increasing their vulnerability to present and future climate hazards, such as clearing mangroves for timber and charcoal production (Jitpiromsri 2009).
11. Capacity for climate change risk analysis and adaptation planning is also very low among government planners and policy makers at all levels, particularly at provincial and local government levels, including among the line ministry staff dispatched to work within provinces and subdistricts.

1.2.4 Weak Intersectoral Coordination on Climate Change and DRM

12. While the policy dialogue around climate change and adaptation is growing in Thailand, there has been limited information sharing with those most vulnerable to climate change impacts as well as with those tasked with governing and administering these areas, i.e. the subdistrict and provincial authorities. Available scientific studies on climate change are either not widely disseminated or are not sufficiently accessible to a non-technical audience. Furthermore, to date there has been limited coordination between climate change researchers and policy makers from the Office of Natural Resources and Environmental Policy and Planning (ONEP), the national focal agency for UNFCCC, and Disaster Risk Management (DRM) practitioners and policy-makers within the Department for Disaster Prevention and Mitigation (DDPM). Consequently, climate change risks are not reflected in most government planning processes, including DRM programmes and policies, and there is very little anticipatory climate risk planning or management in any sector. There is also little understanding of how individual sector policies and practices on coastal zone land use, development and management may be unintentionally increasing the vulnerability of coastal communities and economies to climate change impacts.

1.3. Long-term solution and barriers to achieving the solution

13. Adaptation planning in Thailand's coastal areas is likely to be most effective when local communities are able to fully understand and analyze their climate change vulnerabilities and adaptation options, and empowered to shape and implement locally appropriate adaptation strategies. The critical importance of such community engagement is already well recognized in the field of DRM by DDPM, the Thai Red Cross Society (TRCS) and the

Sustainable Development Foundation (SDF), the proposed project's main implementing partners. All three are already working with local government authorities, communities and other partners in disaster prone areas to develop local capacity for disaster preparedness and emergency response and relief, particularly among local communities. Additionally, SDF has also been working with a range of partners to help communities adopt a more sustainable ecosystem-based approach to local development, which - where implemented successfully - may also help to increase local resilience to climate change impacts.

14. Building on the programmes of DDPM, TRCS, SDF and others, the project will further equip vulnerable local communities with the knowledge, skills and resources needed to:
 - a) fully understand their climate change-induced problems;
 - b) define and prioritize adaptation strategies, including the human, technical and financial resources needed to implement these; and
 - c) obtain longer-term public and financial support for community-based adaptation, especially through provincial and subdistrict government development plans and budgets.
15. To achieve these outcomes, the project will need to address several barriers as described below. These relate to the root causes described earlier and correspond to the barriers identified in the hazards and adaptive-capacity based approaches of the Adaptation Policy Framework (UNDP 2005).

1.3.1 Knowledge and Capacity Barriers

16. There are a number of knowledge and capacity-related barriers to mainstreaming community-based climate change adaptation into development planning processes in Thailand. As discussed in Section 1.2, understanding of climate change risks and locally appropriate adaptation options and benefits is weak at all levels, particularly among vulnerable coastal communities and local government planners and public service providers. Provincial development planners and decision-makers also do not have the necessary skills and knowledge to assess climate risks, prioritize adaptation options, or to mainstream climate risk reduction into existing disaster risk management programmes. Furthermore, development planners and decision-makers at all levels must also understand the role of community-based adaptation in reducing climate change risks and the development benefits that can be generated by supporting CBA. The institutions, agencies and NGOs currently working in the field of DRM, including DDPM, TRCS and SDF, have limited knowledge and experience of climate risk analysis and adaptation planning and are therefore unable to impart such knowledge and skills to local communities or to their other government counterparts as part of their existing DRM programmes.
17. While research on current climate change trends and projected future climate change impacts in Thailand is growing, for example, through the work undertaken for the preparation of the Second National Communications (SNC) and the National Climate Change Action Plan, until relatively recently, there were no mechanisms in place to facilitate information exchange and cooperation on climate risk management between different sectors, and their associated community of practitioners, policy-makers and researchers. This is now beginning to change as a result of the work undertaken by ONEP and the new

National Committee on Climate Change (NCCC) within the Prime Minister's Office, although understanding of the linkages between climate change and other development and public service sectors still needs to be further strengthened. However, there are still no clear mechanisms for communicating and discussing climate change research findings to vulnerable communities and local government planners and public service providers. Equally, there are no regular channels for climate change policy makers to learn from the experience and knowledge of local communities. However, the government is proposing to hold public consultations on the Climate Change Action Plan which is currently under development.

1.3.2 Technical Know-How and Financial Barriers

18. Community-based adaptation as a conscious strategy to reduce vulnerability to climate change impacts is still relatively new in concept if not in practice. Many communities around the world have been implementing strategies to manage climate risks since time immemorial, some of which may also be effective against climate change impacts. However, there is still little codified knowledge about community-based adaptation practices and experiences globally or in Thailand, where coastal communities are known to employ a range of strategies to address the impacts of climate hazards, such as sandbag barriers and bamboo fences to control coastal erosion. However, such local knowledge and experience have not been systematically documented or widely shared. Nor have the current or long-term effectiveness community-based adaptation strategies been analyzed scientifically in the context of present and future patterns of climate risk.
19. Another important barrier to community-based adaptation is that marginalized vulnerable communities may not have the necessary financial resources to implement climate risk reduction measures even if they possess the knowledge and the technical know-how to do so. Thus, imparting knowledge and skills for adaptation planning alone will not be sufficient to empower communities to take effective pre-emptive action to address climate change risks. At the same time, government planners and decision-makers are unlikely to support community-based adaptation through public budgets without greater evidence of its development benefits.

1.3.3 Policy Barriers

20. Climate change policy in Thailand as in most other countries has been formulated at the central level with few inputs from those most vulnerable to climate change impacts. Thus, explicit policy support for community-based adaptation is currently weak. Although Climate Change Adaptation is one of the six main pillars of the National Strategy for Climate Change Management for 2008-2012 (ONEP 2009), the strategy makes no mention of the potential role of community-based adaptation in Thailand. Nonetheless, one of ONEP's key priorities as the national focal agency for UNFCCC, is to operationalize adaptation at the provincial level through a network of local actors including government, civil society and the private sector. The absence of systematic, evidence-based information on the benefits and options available for community-based adaptation in Thailand is, however, proving a barrier to generating broader policy support for community-based adaptation both nationally and within the provinces.

21. Another important policy barrier to community-based adaptation is the current lack of integration of climate change risks into disaster risk policies and programmes. The current Master Plan for Disaster Risk Management (2008-2012) does not identify climate change as a distinct category of risk. Thus, the government's DRM activities focus mainly on disaster preparedness and relief and rehabilitation, despite these being costly in terms of public expenditure. Greater policy integration between these two sectors could lead to more anticipatory approaches to DRM that are also likely to be more cost-effective.
22. ONEP is currently coordinating the development of a Climate Change Action Plan which is expected to be finalized before the end of 2010. The Action Plan will provide more detailed guidance on integrating climate change into each sector's plans and programmes. A draft Action Plan is currently under review by the different government sectors, after which public consultations will be held with civil society at the regional level.

1.4. Stakeholder baseline analysis

23. Inputs and feedback were obtained from a range of primary stakeholders during project preparation to guide project design (see Annex 3). These included provincial and local government officials, local communities, NGOs and Community-based organizations (CBOs) in several southern Provinces as well as ONEP, climate change scientists and members of the NCCC. The main project implementing partners, TRCS, DDPM and SDF, provided critical inputs to overall project development and design. Based on these consultations, studies conducted during the project preparation phase, and discussions among the main project implementing partners, three provinces have been selected for project implementation: **Nakhon si Thammarat, Phattalung, and Trang**. The project will work with up to ten target communities, i.e. ten villages⁷, in at least four subdistricts of the 3 provinces. Further details of the proposed target provinces and subdistricts including criteria for their selection are provided in Annex 4.
24. Major stakeholders with a day-to-day role and/or who are critical to the project's ultimate success are described in Table 1 below. Other important stakeholders, such as the numerous volunteer networks, CBOs and NGOs operating in the target provinces and subdistricts are listed in the Stakeholder Involvement Plan in Annex 5, which also includes details of stakeholders who may only engage more intermittently with the project on a needs basis.

⁷ The Village or Mooban is the smallest unit of local administration (see Annex 2).

Table 1: Major Project Stakeholders

Stakeholders	Interests & Summary of Role in Project
Key Project Implementing Partners	
Thai Red Cross Society (TRCS)	<p>The Thai Red Cross Society (TRCS) was founded in 1893 under the patronage of the Royal Family. TRCS is the largest humanitarian organization in Thailand today with 12 Health Stations, 75 Provincial Chapters and 216 District Branches. TRCS operates under the governing principles of the International Red Cross and Red Crescent Movement and. The Society's work is carried out through TRCS has four core areas of work: medical and health care services; disaster preparedness and response; blood transfusion services; and improving the quality of life and providing social welfare services to vulnerable groups. TRCS is a pioneer in the field of Community Based Disaster Risk Management (CBDRM), with particular experience from the southern provinces that were hardest hit by the 2004 Tsunami. The Society's core competencies include disaster risk assessment and management, including preparedness and emergency response, and developing community capacity for DRM in risk prone areas. TRCS works closely with DDPM and with local government and communities, CBOs, NGOs and CSOs.</p> <p><i>This project relates directly to TRCS's work on disaster preparedness, which comes under the purview of its Relief and Community Health Bureau (RCHB). It will also contribute to TRCS's mission to improve the quality of life of vulnerable groups. As the executing partner of the project, TRCS will oversee all aspects of project implementation and ensure effective coordination and communication with other key project partners, notably DDPM and SDF, as well as with all major stakeholders, particularly local communities, community leaders, CBOs and CSOs and the relevant government authorities within the project target provinces and subdistricts through the concerned Red Cross Health Stations, Provincial Chapters and District Branches. The project will also develop TRCS's capacity for integrating climate change risks and community-based adaptation into its existing CBDRM programmes, thereby strengthening the sustainability and replication of good practices relating to community-based climate risk reduction and adaptation generated by the project.</i></p>
Department of Disaster Prevention and Mitigation (DDPM), Ministry of Interior (MOI)	<p>DDPM is the principal government agency that formulates and implements policies and activities on disaster prevention and mitigation in Thailand. In coordination with other key government stakeholders and the private sector, DDPM leads the development of a cabinet-approved National Disaster Prevention and Mitigation Master Plan. The current Masterplan covers four years from 2008-2012. DDPM also coordinates relief and compensation efforts for those affected by disasters as well as conducting training on DPM in both the public and private sectors. Additionally, DDPM works closely with TRCS at the community level to develop capacity, knowledge and skills to prepare and plan for emergencies. DDPM also funds and helps train the Ao Pho Po Ro and Mr Warning volunteers in disaster risk reduction and relief efforts (see Annex 5). DDPM has 18 regional offices across Thailand, including four in the south, two of which cover the provinces targeted in this project: Zone 11/Surat Thani covers Nakhon Si Thammarat and Phattalung and Zone 18/Phuket covers Trang. DDPM also has a training academy for DDPM staff with 3 campuses, including its main campus at Pathumthani in Bangkok. Since 2009, each province has started to develop a Provincial Disaster Prevention and Mitigation Plan. Annual budget requests can be made to the provincial government to finance activities under the plan.</p>

	<p><i>As a key project partner, DDPM will work closely with TRCS to support the implementation of the project, particularly components that build on DDPM's on-going work. Additionally, DDPM will seek to integrate climate risk reduction and community-based adaptation into its own policies and programmes and also support their integration into provincial development planning processes, thereby strengthening the sustainability and replication of community-based adaptation approaches demonstrated through the project. Through DDPM, the project will also liaise with other relevant departments of the MOI, such as the Departments of Local Administration and of Community Development (see Annex 5)</i></p>
Sustainable Development Foundation (SDF)	<p>The Sustainable Development Foundation (SDF) is a Bangkok-based organization. Originally established in 2000 to support a sustainable natural resource management program funded by the Danish Cooperation for Environment and Development (DANCED), SDF has continued to focus on promoting environmental sustainability and supporting the development of community capacity for sustainable development and ecosystem-based NRM. SDF has been involved in a number of nationally and internationally supported projects, including ones in Tsunami-affected areas. SDF has a particular interest in community empowerment, particularly of women and other vulnerable groups. SDF works through and by developing and/or strengthening various NGO and CBO networks that share their overall vision and goals. For example, SDF was one of the founding members of the Save Andaman Network (SAN), which was established to support Tsunami recovery activities in Thailand (see Annex 5). SDF acts as the Secretariat for SAN and is also the National Coordinating Organization for the Global Network of Civil Society Organizations (CSOs) for Disaster Reduction. Additionally, SDF is currently implementing a Mangroves for the Future (MFF) project to improve coastal zone management in selected subdistricts of Southern Thailand, some of which are also target sites for this project.</p> <p><i>SDF is one of the key project partners along with TRCS and DDPM. The project will build on SDF's knowledge and networks in southern Thailand, as well as its expertise in community capacity development for DRM, sustainable environmental management and development. SDF networks will be used for public awareness generation, dissemination of knowledge and for wider replication of project results.</i></p>
Key Stakeholders within Target Provinces, Subdistricts and Villages (also see Annexes 2 & 5)	
The Office of the Provincial Governor & Provincial Administration Heads at different levels	<p>The provincial administration is headed by the Provincial Governor, who is an appointee of the Ministry of Interior (MOI). In principle, most of the line government agencies present at the provincial level also report to the governor. The Provincial Governor's Office prepares 4 year provincial development plans consistent with national and sectoral development policies and strategies, taking into account provincial resource endowment and development priorities. The governor oversees the coordination of line ministry plans and programmes to ensure horizontal integration at the provincial level. District Chiefs (<i>Nai Amphoe</i>) appointed by the Provincial Governor are responsible for ensuring similar horizontal integration at the district level. District Chiefs also supervise the appointed Subdistrict Heads (<i>Kamnan</i>) and Village Chiefs (<i>Phu Yai Baan</i>), who play a major role in local decision-making within their respective subdistricts (Tambon) and villages (Mooban).</p> <p><i>The project will develop capacity for climate risk reduction planning among relevant sections of the Provincial Administration to facilitate the integration of climate change risks and community-based adaptation into provincial development planning. The project will also periodically brief high-level decision-makers within the Provincial Governor's Office, including the Provincial Governor, on project objectives and achievements as well as seek their advice on how best to obtain support for community-based adaptation through existing development planning processes within the process.</i></p>
	The IPAC, (also sometimes referred to as the provincial development committee), is a key decision-making body at the

<p><i>Kor Bor Jor /</i> Integrated Provincial Administrative Committee (IPAC)</p>	<p>provincial level with representation from both elected and appointed streams of government (see Annex 2). The IPAC is chaired by the provincial governor and includes deputy governors, the provincial representatives of line ministries representatives, members of the elected Provincial Administrative Organization (see below), representatives of public enterprises, local government administrators, chairs of the provincial chamber of commerce and the provincial industry association as well as civil society representatives. The IPAC guides and oversees the integrated administration and development of the province and is responsible for approving the four-year Integrated Provincial Development Plan as well as the annual Provincial Action Plan, which contains the annual budget requests.</p> <p><i>The project will actively engage the IPAC from the start of implementation in order to gain the IPAC's support for institutionalising climate change adaptation planning, particularly CBA, into government development planning at the provincial level. IPAC members will be regularly consulted and also invited to take part in relevant project trainings, including visits to demonstration sites.</i></p>
<p>Provincial Administration Organisation (PAO)</p>	<p>The PAO is an elected body that is also responsible for certain aspects of local administration at the provincial level. PAOs have their own sources of revenue and development plans and budgets. Although PAOs are the higher tier of elected local administration, they have limited authority over TAOs. However, they may provide policy and financial support to TAOs and other local government offices to carry out development activities at the subdistrict level. They also play a useful role in supporting TAOs over issues that cross subdistrict boundaries. For example, PAOs are responsible for protecting and maintaining the natural resources and environment of the province.</p> <p><i>Selected PAO members will be included in targeted trainings on climate risk management and community-based adaptation and also invited to visit project demonstration sites. The project will also consult with PAO officials to identify opportunities for obtaining stronger PAO support for integrating community-based adaptation into PAO development plans as well as into the integrated Provincial Development Plans.</i></p>
<p><i>Or Bor Tor /</i> Tambon Administration Organization (TAO)</p>	<p>The Or Bor Tor or TAO is the body tasked with local government administration at the subdistrict level. It includes both an elected executive and council as well as government civil servants. They are the most relevant local government body at the community level. TAOs are responsible for the preparation and execution of local development plans that cover the needs of the villages within the TAO or subdistrict. TAOs have responsibilities in most government sectors, including disaster prevention and mitigation, environmental management, health and education. As well as receiving funds from the national government, TAOs also generate their own revenues from taxes and other sources to finance their development schemes. TAOs prepare three-year development plans with annual action plans. Proposed expenditure is outlined in each fiscal year's budget and must be approved by the TAO council. Until recently, TAO annual action plans and budgets were then submitted to the Provincial governor and MOI for approval. TAO budget requests are now submitted via the IPAC to the National Development Policy Committee. Thus, TAOs now play an important role in coordinating and integrating local development needs into upstream provincial development planning processes.</p> <p><i>The project will work closely with the TAOs representing the target communities. The project will develop the capacity of TAOs for climate risk management and adaptation planning. TAO members will participate in the climate change VCAs. TAOs will play a key role in supporting communities to obtain financing for priority climate risk reduction measures through the different government funding avenues available within the province, including the budgets of the TAO, PAO and the Provincial Government</i></p>
<p><i>Samakom Or</i></p>	<p>The Association of Subdistrict Administration was established to provide mutual support among the TAO executives and council</p>

<p><i>Bor Tor /</i> Association of Subdistrict Administration</p>	<p>members. It provides a forum for discussion of Tambon priorities and needs and is an influential body. <i>The Association meetings represent an opportunity to build the knowledge and capacity of its members on climate change adaptation and to generate support among influential decision-makers within local government for community-based adaptation.</i></p>
<p>Communities, Community Leaders and Community Groups</p>	<p>Up to ten communities/villages will be actively involved in implementing project activities. The selection of target communities will be finalized during the project inception phase. Apart from the communities themselves, important stakeholders at the village level include the community leaders, such as the appointed <i>Kamnam</i> or Subdistrict Heads and Village Chiefs as well as other community leaders, representatives and various community organizations (such Fishing Groups, Womens' Groups and various volunteer groups) all of whom play important roles in local decision-making and/or the provision of community services, including policing, natural resource management and disaster risk management. Individual communities prepare annual Village Plans, which are submitted to TAOs for financing. TAOs can also support communities obtain funding from other government sources within the province via the District Chiefs. <i>Target communities, including leaders and community organizations, will play a leading role in this project. The capacity for climate change adaptation of target communities will be developed through a range of activities under different project outcomes, including the conduct of climate change vulnerability assessments and the preparation of Climate Risk Reduction Action Plans. Priority risk reduction measures will be integrated into Village Plans and submitted for financing through different channels of government funding available at the local and provincial levels. Additionally, the project will seek to strengthen community ability to obtain longer-term sustainable financing for adaptation through local and provincial development plans by providing small-scale grants to enable communities test and show case priority adaptation measures.</i></p>
<p>Government Bodies, Line Ministries and Departments</p>	
<p>The Prime Minister's (PM's) Office</p>	<p>The PM's Office includes various high-level committees who undertake the highest level of national policy consultation and development. The committees of particular relevance to this project include the national committees on climate change and on disaster prevention as well as the National Environment Board (NEB). <i>The project is well aligned with national policies on climate change adaptation, DRM and sustainable environmental management and will engage closely with the concerned committees to share project knowledge, including lessons learned and good practices on coastal community-based adaptation to strengthen national policy support for community-based adaptation in Thailand.</i></p>
<p>MONRE: ONEP, DMRC, DMR, DNP, Provincial Natural Resource & Environmental Offices</p>	<p>MONRE is responsible for natural resources and environmental policy and management in Thailand. MONRE acts as the Secretariat of several national committees chaired by the Prime Minister, particularly the National Environmental Board and the National Committee on Climate Change. Within MONRE, the Office of Natural Resources and Environment Policy and Planning (ONEP) is the national focal point for the UNFCCC and other multilateral environmental treaties, including the Convention on Biological Diversity (CBD). ONEP led the preparation of Thailand's Initial National Communications (INC) to UNFCCC and the development of the National Strategy on Climate Change Management. ONEP is currently coordinating activities under the Second National Communications and leading the preparation of the National Action Plan on Climate Change and works with other key sectors, such as Ministry of Agriculture and Cooperatives, Ministry of Energy and Ministry of Public Health to help them prepare sectoral climate change related policies and plans. MONRE's Department of Marine and Coastal Resources (DMCR) is responsible for the sustainable management of the</p>

	<p>country's marine and coastal resources. DMCR is also mandated to formulate coastal and marine policy and strategies, conduct research and development, and oversee the utilization of marine and coastal resources. The Director-General (DG) of DMCR is the chairman of the national committee of Mangroves for the Future (MFF). Additionally, MONRE has established a committee and developed an MOU between DMCR and the Department of Mineral Resources (see below) to address the problem of coastal erosion.</p> <p>The main objective of MONRE's Department of Mineral Resources (DMR) is to monitor Thailand's geological resources and to manage the use of such resources as well as activities related to their exploration. However, DMR also has a land disaster operations centre and has established an Early Warning System for landslides through the centre along with a disaster volunteer network. Nakhon Si Thammarat, one of this project's target areas, is also one of the DMR's focal areas.</p> <p>MONRE's Department of National Parks (DNP) is the primary agency responsible for biodiversity conservation and for the management of Thailand's national parks, including coastal and marine biodiversity that found within national park boundaries. Some of the land in the target project subdistricts falls within national parks.</p> <p>MONRE also has 16 Regional Environmental Offices (REOs) and individual Provincial Offices for Natural Resources and Environment (PONRE). PONRE's responsibilities include the formulation of provincial environmental management plans and the maintenance of water resources, including groundwater resources.</p> <p><i>The project will coordinate closely with MONRE on specific issues, particularly with ONEP, DMCR, DNP, DMR and MONRE's regional and provincial offices. PONRE and DMCR staff will be included in the project's training programmes. Technical inputs and support will be obtained from DMCR, DMR, DNP and MONRE as needed. At the national level, the project will work closely with ONEP to strengthen policy support for community-based adaptation in Thailand and to disseminate project knowledge and lessons learned nationally and internationally.</i></p>
<p>Royal Irrigation Department (RID), Ministry of Agriculture and Cooperatives</p>	<p>The RID is responsible for the conservation, regulation, distribution, release and allocation of water for agriculture, energy, domestic consumption and industry. It is also responsible for the prevention of damage caused by water and the inland navigation of irrigation areas. The RID thus plays an important role in managing flood and drought disaster risks. RID has established an Operations Centre at national and regional level to provide early warning information and direction in order to prevent and mitigate flooding. At the national level, RID has launched a disaster risk reduction program including sustainable water use and forecasting and water storage planning.</p> <p><i>The project will work closely with RID in the area of flood control, which is a critical problem in several of the target subdistricts. RID will also be targeted in the project's capacity development initiatives for line ministry staff working at provincial level.</i></p>
<p>Department of Harbours, Ministry of Transport</p>	<p>The Department of Harbours is responsible for managing waterways for marine transport. Coastal management responsibilities include dredging and preserving the condition of waterways, building dykes to protect river banks from eroding, authorising the construction of ports and imposing tough measures against dumping of waste. In Tha Salah subdistrict, one of this project's target areas, DoH has implemented projects to construct seawalls and other types of physical barriers to address problems of coastal erosion and keep major waterways clear for transport purposes.</p> <p><i>The project will work with this department as needed on a case by case basis to support the implementation of community-based climate risk reduction measures.</i></p>

Academic & Research Institutions	
Southeast Asia START (SEA START)	<p>The Southeast Asia System for Analysis, Research and Training (START) Regional Center is one of eight regional centres that form the Global Change START network. START conducts multidisciplinary research on the interactions between humans and the environment. SEA START's work involves developing integrated scientific and socio-economic approaches to improve the assessment and forecasting of environmental change in the Southeast Asia region. It provides expert advice to governments and the private sector on how to cope with long-term environmental changes, encourages exchange of environmental data and information between regions and promotes public awareness on global environmental issues. Researchers at SEA START have conducted the bulk of Thailand's downscaled climate change projections and have been researching climate change impacts, vulnerability and adaptation since 1997. In addition, SEA START develops, modifies and tests various tools and methodologies in climate change modeling.</p> <p><i>The project will avail of SEA-START's expertise to deliver training on climate risk analysis and management. In particular, SEA-START will participate in the proposed climate change VCAs and climate-change related awareness generation and training of local government and public service providers to help communicate climate change scenarios for southern Thailand.</i></p>
The Climate Change Knowledge Management Centre (CCKMC)	<p>The CCKMC is a collaborative centre of excellence between the National Science and Technology Development Agency (NSTDA) of the Ministry of Science and Technology and Chulalongkorn University. CCKMC is a unit within the National Electronics and Computer Technology Centre of NSTDA. CCKMC's goal is to be the national node of knowledge on climate change and vulnerability of development systems and sectors at different spatial and temporal scales. To this end, CCKMC will collect, synthesize and disseminate knowledge on climate change to support strategic planning by government agencies, private sector as well as local communities to increase adaptive capacity. CCKMC is a partner of START and the Regional Climate Change Adaptation Platform for Asia, which has been established through a partnership of the Stockholm Environment Institute (SEI), the Swedish Environment Secretariat for Asia (SENSA), UNEP and the UNEP/AIT Regional Resource Centre for Asia and the Pacific.</p> <p><i>The project will liaise closely with the CCKMC to disseminate project knowledge and experiences as well as to learn from the experiences and knowledge of others working on climate change adaptation both in Thailand and regionally. The project will also coordinate with CCKMC plans to set up networks of climate resilient villages and local climate knowledge centres including in two of the project target provinces, Nakhon si Thammarat and Trang.</i></p>

2. Strategy

25. Building on the on-going efforts of DDPM, TRCS, SDF and others, the project will strengthen the adaptive capacity of vulnerable coastal communities in three provinces of southern Thailand by helping communities to: a) demonstrate the development benefits community-based adaptation (CBA) to government planners and decision-makers, and b) obtain greater policy and sustained financial support for CBA through provincial and local government development plans and budget allocations.

2.1 Project rationale and policy conformity

26. The proposed project satisfies the criteria of UNFCCC Decision 7/CP.7 and GEF/C.24/12 in several ways. The project is based on country-driven priorities as reflected in the country's Initial National Communications (OEPP 2000), the National Strategy on Climate Change Management (ONEP 2009) and the Second National Communications to UNFCCC, which is currently being finalized. The project also conforms to the thematic programming principles of the Special Climate Change Fund (GEF/C.24/12 paragraphs 41, 43, and 46) as it focuses on human and institutional capacity development for integrating climate change risks into community-based disaster risk reduction in Thailand's coastal areas (GEF/C.24/12 Para 19, 2 a & c, 41, 44 and 46). Additionally, the project is fully in line with national sustainable development priorities, as described further below (Section 2.2). The project has been designed in the most cost-effective manner (Section 2.6) and will also leverage additional co-financing resources from bilateral and other multilateral sources (Section 2.3).

2.2 Country ownership: Country eligibility and country drivenness

27. Thailand ratified the UNFCCC on 28th December 1994 with entry into force on 28th March 1995. As noted earlier, climate change adaptation is one of the six pillars of the National Strategy on Climate Change Management (ONEP 2009). The project has been endorsed by the national GEF operational focal point, and ONEP, the focal agency for UNFCCC, has been consulted periodically during project preparation to ensure alignment with national priorities on climate change. By seeking to develop the adaptive capacity of coastal communities and strengthening the capacity of local and provincial planners and decision-makers for climate risk analysis and adaptation planning, the project is particularly well aligned with ONEP's goal of operationalizing adaptation at the provincial level. ONEP also sees the testing and showcasing of effective adaptation measures on the ground as a major priority in order to strengthen policy support for adaptation across all sectors of government.
28. By focusing on community-based adaptation, the project complements existing policies and programmes of DDPM and TRCS, which have emphasized a community-based approach to disaster risk management (DRM). The project will also support Thailand's efforts in complying with the Hyogo Framework of Action on Disaster Risk Reduction (2005-2015), which references climate change as an underlying risk factor for disasters. Additionally, by developing TRCS's capacity on climate change and community-based adaptation, the project will enable TRCS to align itself better with IFRC policy and guidance on climate change adaptation, which includes a global commitment adopted in 2007 to ensure that

environmental degradation and climate change adaptation are integrated, where relevant, in disaster risk reduction and disaster management policies and plans (IFRC 2008).

29. The proposed project is also in line with the goals and programmes of the 10th National Economic and Social Development Plan (NESDP-10) for 2007-2011. NESDP-10 is grounded in the Royal philosophy of the “Sufficiency Economy” and has as its overarching goal the achievement of economic, social and environmental balance as the foundation for sustainable human development. Resilience is one of the key principles of the Sufficiency Economy. The project relates particularly well to NESDP-10’s programmes to build strong local communities and economies, foster sustainable environmental management, and to increase good governance and public participation in democratic processes (UNDP 2007). The project is also likely to be well-aligned with NESDP-11, which is currently under development. Climate change is one of the five proposed focal areas of NESDP-11. Initial discussions on NESDP-11 have also emphasized the importance of strengthening community-based social protection through capacity development and empowerment.
30. Among the most significant political developments in Thailand in recent years is the government’s on-going decentralization of development planning and budgeting and associated reforms to provincial and local administration. Provincial and local government structures have undergone considerable evolution over recent years with the transfer of many national government responsibilities and functions to different tiers of local government. Under the State Administration Act of 2007 and the Integrated Provincial Planning and Clustering Decree of 2008, the province is now a legal entity that can directly make budget requests to the central Budget Bureau through its Integrated Provincial Administrative Plan. Additional powers and revenue have also been devolved to lower levels of government within the province, notably the Tambon Administrative Organization (TAO) at the subdistrict level (see Table 1). However, many TAOs and even provincial governments lack the capacity to fulfill all aspects of their ever-growing mandates and responsibilities. The proposed project will contribute to developing the capacity of both communities and TAOs in target project areas to make better use of the opportunities offered by decentralization to access financial and other government support for implementing locally prioritized climate risk reduction measures. As the project will be working very closely with different levels of government, a brief summary of the main elected and appointed government bodies in the province and the funding avenues available to local communities through government development budgets is provided in Annex 2.
31. Thailand is eligible for technical assistance from UNDP under the United Nations Partnership Agreement Framework (UNPAF) for 2007-11 for Thailand and the related UNDP Country Programme (CP) and Country Programme Action Plan (CPAP) for 2007-11. Thailand has made remarkable progress in its human development goals over the past twenty years. The country has already met most of its United Nations Millennium Development Goals (MDGs) and is on track for achieving most of the few that remain by the 2015 target date (UNDP 2007). Progress has been slowest on MDG 9, namely on mainstreaming sustainable development principles and reversing environmental degradation and loss (UNDP 2007). Additionally, development has not taken place evenly across the country and poverty is still widespread, particularly in rural areas.
32. The project will contribute especially to the achievement of two of the five areas of cooperation agreed between the Royal Thai Government and the UN under the UNPAF,

which are included as two of the four components of UNDP's CP and CPAP, namely strengthened capacity of sub-national administrative organizations for participatory and transparent evidence-based planning based on quality data and environmentally sustainable development at the community and national policy levels. Additionally, the project will contribute to the UNPAF and CP goal of strengthening Thailand's increasing role in South-South cooperation, particularly in the region, but also beyond (see Cover Page & Section 2.5).

2.3 Design principles and strategic considerations

33. The project has been designed through close consultation among the key project partners, TRCS, DDPM and SDF, who have also conducted stakeholder consultations within each of the three target provinces (see Annex 3). As described earlier, the project is well-aligned with national policies on climate change, sustainable development and community-empowerment. The project builds on-going DRM programmes and policies and community-based sustainable development and environmental management programmes in the coastal zone. It also seeks to strengthen community capacity not only for climate risk reduction through adaptation, but also to avail of opportunities created for local action through the government's decentralization of development planning and budgeting.
34. **Gender** has been given particular consideration in the design of the project given the important role that women often play in disaster relief and recovery. For example, UNDP, SDF and others working with grassroots organizations and communities have found that women played a critical role in the immediate after-math of the 2004 Indian Ocean tsunami and in driving long-term recovery and rehabilitation of tsunami-impacted coastal communities in Thailand (SDF 2008, SDF/DMCR/START/UNDP 2009). Many women also have experience of managing and participating in community savings groups, revolving funds and microcredit schemes. SDF and others have also found that women are particularly good at liaising and networking with other community members. Women thus have a particularly important role to play not only in the implementation of this project, but also in promoting successful community-based adaptation measures. However, women also have special vulnerabilities and capacity development needs compared to other sections of local society, which need to be understood and addressed. All these factors have been reflected in project design, particularly under Outputs 1.1, 1.2, 2.1 and 4.1 (also see Section 2.5). The involvement and role of women in project interventions and the delivery of project results will be periodically reviewed as part of regular project monitoring and adjustments made to project strategy as needed to strengthen women's engagement and capacity development.
35. SCCF funding will be restricted to activities that expand on, and complement, relevant on-going or proposed baseline programmes and projects. Thus, the on-going and proposed CBDRM programmes of TRCS and the SDF/MFF project are major sources of parallel cofinancing for this project (see Section 4). The project will build on, and coordinate particularly closely with the following initiatives in the 3 target provinces:
 - The Community Based Disaster Risk Management (CBDRM) and Community Based Disaster Risk Reduction (CBDRR) programmes of TRCS and DDPM, as well as other

work being undertaken by DDPM and provincial and local government authorities under the National Disaster Prevention and Mitigation Plan which amongst other things requires provinces to prepare their own disaster prevention and mitigation plans

- The SDF/DMCR/START/UNDP ‘Mangroves for the Future’ (MFF) project on “Ecosystem-based integrated coastal resource management through multi-stakeholder participation in southern Thailand.”
36. Further details of the work of DDPM, TRCS and SDF is provided in Section 1.4/Table 1 and under different Outcomes in Section 2.4.
37. The project also has strong thematic and/or policy linkages with the following projects and initiatives, the first three of which are supported by UNDP and also important sources of parallel cofinancing. Information and lessons learned will be regularly exchanged with the projects listed below.
- The MOI/UNDP/UNEP Poverty and Environment Initiative (PEI) project for Thailand on “Strengthening Inclusive Planning and Economic Decision-making for Environmentally Sustainable Pro-poor Development”. The SCCF project is especially complementary to the PEI Thailand project, which aims to improve planning and budgeting at national and provincial level for environmentally sustainable, pro-poor development. PEI will be working with local communities and government authorities in three provinces as well, but in Central, North and North-East Thailand, including Samut Songkram, a small coastal province on the Gulf of Thailand. Together, the PEI and SCCF projects will generate an invaluable body of knowledge and experience on how to help poor communities in Thailand make use of the new opportunities created by decentralization to influence public and private investment to promote sustainable and climate change resilient development.
 - The “*Southern Thailand Empowerment and Participation*” (STEP) project funded by UNDP’s Bureau for Crisis Prevention and Recovery, and is being implemented by the Prince of Songkhla University with the close engagement of MOI, including DDPM. The SCCF project is particularly well linked to Output 5, which seeks to strengthen local capacity for natural resources and natural disaster management.
 - The MFF Small Grant Facility managed by UNDP, which is supporting a number of projects on coastal and marine conservation and ecosystem restoration, particularly of mangroves as well as strengthening community capacity for coastal resource management.
 - Thailand’s Second National Communications to the UNFCCC, which is currently being finalized. For example, the 30-year climate change projections for Thailand prepared by SEA-START under the Vulnerability and Adaptation Assessment component of the SNC will feed into proposed climate change VCAs in the project target communities. Relevant findings of studies being undertaken by the Thailand Research Fund, for example, on extreme weather events under different climate change scenarios will also feed into the project.
 - The recently completed SDF project supported by the UN Foundation and The Coca Cola Company (UNF-TCCC) on “*Women’s empowerment in community-based disaster risk management through Tsunami Experience*”. This project sought to further build DRM leadership capacity of coastal women in southern Thailand.

- The UNDP support to integrated community development for livelihoods and social cohesion in Mae Hong Son province, focusing on disaster preparedness for extreme weather and climate change risks.
- The GEF-supported National Capacity Self Assessment (NCSA) for the implementation of Climate Change, Biodiversity and Land Degradation conventions, which is due for completion in June 2010.
- At the national policy level, the project will particularly link with the work of ONEP on climate change adaptation, in particular ONEP's goal to decentralize the Adaptation Pillar of the National Strategy on Climate Change Management.
- The SCCF project will also link with the new regional Adaptation Knowledge Platform, which has been established through a partnership of the Climate Change Knowledge Management Centre of the Ministry of Science and Technology, the Stockholm Environment Institute, UNEP and AIT, with funding from the Swedish Development Agency (Sida). Additionally, Thailand has been selected as one of the initial countries to receive support for national-level activities. The platform thus represents a particularly important mechanism for sharing project adaptation knowledge and experiences both nationally and regionally, as well as for learning from the knowledge and experience from other places and countries.

UNDP's Comparative Advantage

38. The proposed project is aligned with UNDP's comparative advantage, as articulated in the GEF Council Paper C.31.5 "Comparative Advantages of GEF Agencies", in the areas of capacity building, technical and policy support, as well as expertise in project design and implementation. UNDP's comparative advantage for the proposed project lies in its continuous in-country presence and considerable experience of working with the Royal Thai government and other partners in different capacities, including decentralization, local governance, sustainable environmental management and disaster risk management. As described above, the project builds on past projects and complements a number of major on-going projects supported by UNDP. This includes facilitation of a small grants programme that works directly with communities throughout the country. UNDP is supporting implementation of the Second National Communication on Climate Change and has been requested by the government to also support the operationalization of Thailand's National Strategy on Climate Change Management.
39. Additionally, at a regional level, UNDP is actively cooperating with a team of regional disaster reduction and climate change adaptation advisors who are based in Thailand and India. This will ensure coordination and sharing of lessons learned with other disaster risk reduction and climate change adaptation projects in the region, particularly on mainstreaming climate risk reduction into development policy and planning, and application of risk reduction tools.

2.4. Project Objective, Outcomes and Outputs/activities

40. The project's overall objective is to increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events.

41. The project's immediate objective is to integrate the climate change vulnerabilities and adaptation options of coastal communities into development planning processes in three provinces of southern Thailand.

OUTCOME 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities

Co-financing amounts for Outcome 1: \$816,500
SCCF project grant requested: \$172,125

Without SCCF Intervention (baseline):

42. PPG consultations and studies confirmed that there is very little knowledge and awareness about climate-related risks and impacts among vulnerable coastal communities and local government authorities and public service providers in southern Thailand. There is thus very little local capacity for adaptive planning and without SCCF support, this situation is likely to prevail for the foreseeable future. While local communities and government authorities have been grappling with the problems of coastal erosion, flooding, ground water salinisation, drought and extreme weather events for some years, the root causes of vulnerability and the factors that affect resilience to climate and other natural disaster risks have not been systematically analyzed. The likely impacts of climate change on existing problems have also not been assessed. Thus, as already discussed in Sections 1.2 and 1.3, many development interventions by both government and private sector, as well as actions by individuals, continue to inadvertently reduce coastal resilience and increase the vulnerability of coastal communities to climate change impacts.
43. There is generally greater public awareness about other disaster risks due to the various past and on-going programmes of DDPM, TRCS and a range of local NGOs, especially on the Andaman coast, which was severely impacted by the 2004 Indian Ocean tsunami. These include DDPM and TRCS's jointly administered programmes on CBDRM/CBDRR⁸ aimed at developing community capacity to plan and respond to emergencies (see Outcome 2 below). There is also increasing understanding among some communities about the role of sustainable environmental management in reducing vulnerability and increasing resilience to disaster risks, including climate hazards, due to the work of SDF and other local NGOs and CBOs, who promote self-reliance and an ecosystem-based approach to development. Additionally, DDPM has a training academy with 3 campuses, including its main campus in Pathumthani. However, the programmes of these agencies do not currently address climate change risks as the agencies involved have very little capacity for climate risk analysis or adaptation planning (see Sections 1.2 & 1.3). Consequently, efforts to increase community capacity for DRM continue to focus on disaster preparedness and emergency response. While national climate change research has been increasing, there are no mechanisms in place, or proposed, to communicate salient findings to vulnerable communities or local planners and decision-makers.

⁸ DDPM uses the term CBDRM, while TRCS tends to use CBDRR as their on-going programme funded by the American Red Cross is known as the CBDRR Project. The terms CBDRM and CBDRR are used interchangeably in this proposal.

With SCCF Intervention (adaptation alternative)

44. With SCCF support, the proposed project will remove existing knowledge and capacity barriers to community-based adaptation planning in three target provinces of southern Thailand. The project will build on the work being undertaken through the CBDRM programmes of DDPM and TRCS and the community empowerment and ecosystem-based development planning promoted by SDF and other local NGOs. Specifically, the project will work with target coastal communities to formulate Climate Risk Reduction (CRR) Action Plans based on a participatory and gender-sensitive systematic assessment of climate change vulnerabilities and adaptation options. Climate change VCAs undertaken through the project will bring together local knowledge with the best available climate change science and adaptation knowledge to help communities articulate both their climate change problems and identify potential community-based solutions. Particular attention will be paid to understanding and articulating the differential vulnerabilities of different sections of local society, particularly women. The VCAs will also seek to identify the strengths of different groups of local actors, as potential drivers of social change and seek to capture this in the design of community-based adaptation measures. SCCF support will also be used to increase understanding of coastal climate risks and adaptation planning options among key public service providers and decision-makers at the village and subdistrict (TAO) government levels. Increased capacity within this target group is essential to integrate climate risk considerations into local government planning and also to institutionalise government support for community-based adaptation. Additionally, SCCF support will be used to help TRCS integrate climate change risk analysis into their existing VCA methodology and thus into the CBDRM/CBDRR programmes implemented with DDPM. This will strengthen the replication potential of community-based adaptation planning processes developed through this project.

Output 1.1 Climate change vulnerabilities and adaptation options of 10 target communities systematically analyzed and documented through participatory and gender-sensitive climate change Vulnerability and Capacity Assessments (VCA)

45. The project will facilitate a process that enables target communities to obtain an in-depth understanding of their climate change-induced problems and to systematically identify and prioritize options for addressing these problems. Climate change scenarios for southern Thailand will be communicated to local communities during the climate change VCAs. Target communities will be selected from at least 4 coastal subdistricts of Nakhon si Thammarat, Phattalung and Trang (see Annex 4). Concrete proposals for climate risk reduction will be developed and consolidated into individual community Climate Risk Reduction (CRR) Action Plans.

Indicative Activities

- Adopt a locally appropriate climate change VCA methodology for the project, based on a review of TRCS's existing VCA methodology and implementation experiences, and a review of existing major climate VCA methodologies (including the Red Cross/Red Crescent Climate Guide and CARE's Climate VCA Handbook).

- Identify core climate VCA team members including representation from SEA-START, DDPM, TRCS and SDF. Within each target subdistrict, the VCA team will also include representation from local community leaders, major NGOs/CBOs and the concerned TAO. The team should include an appropriate mix of technical expertise and community facilitation skills to ensure that the process and VCA outputs are community-driven while also ensuring that discussions remain focused and that the information collected is documented and analyzed systematically.
- Develop and agree criteria for selecting target communities for the VCAs and identify particularly vulnerable groups within each community
- Conduct climate change VCAs in at least 10 coastal communities (in total), distributed across at least 4 subdistricts in Nakhon si Thammarat, Phattalung and Trang
- Facilitate preparation of Community Climate Risk Reduction (CRR) Action Plans in each of the 10 target communities based on the VCAs
- Produce a comprehensive report in Thai and English on the conduct, findings and recommendations arising from the individual climate change VCAs.
- Produce executive summaries of the VCA report for dissemination to different target audiences including decision-makers at different levels of government and selected line ministries, including DDPM, DMCR and RID.

Output 1.2 Key public service providers and decision-makers at the subdistrict and village levels have increased ability to integrate climate change risk reduction and community-based adaptation into coastal development planning

46. The Tambon Administrative Organization (TAO) is mandated to play a major role in local disaster risk prevention and mitigation with the support of DDPM and other actors. However, there is limited understanding of climate change risks or adaptation within the TAOs as this is not included in the trainings offered by DDPM. Furthermore, the TAO plays a critical role in guiding and supporting community development at the subdistrict level as TAOs have their own budgets as well as the power to submit budget proposals to the provincial government via the District Chief. It is therefore essential for TAO members to understand the significance of climate change risks and the value of community-based adaptation in order for community voices to be heard at higher levels of development planning within the province. These specific capacity gaps will be addressed by the project through targeted trainings and follow up consultations with key TAO members, as well as through involvement of TAO members in the climate change VCAs (Output 1.1). Members of the Association of Subdistrict Organizations, the Samakom Or Bor Tor, who are an influential body with the power to steer the course of local development, will also be included in targeted trainings and follow up consultations.

Indicative Activities

- Conduct an initial training and awareness building workshop in each target subdistrict bringing together TAO decision-makers, government staff and Council members, community leaders and other major local stakeholders. The objective of these workshops will be to create and enhance general understanding of climate change

projections and development implications for southern Thailand, and to discuss potential climate risk management strategies and adaptation options. There are generally very few women in the TAOs. Therefore, all women in the target TAOs will be included in the trainings.

- Conduct at least 8 separate consultations with TAO decision-makers and public service providers (2 per target subdistrict) to a) identify opportunities and constraints involved in integrating climate change risk analysis into their decision-making processes and b) identify ways of overcoming constraints and making best use of the new opportunities provided by administrative reforms associated with decentralization of development planning
- Arrange at least 1 field visit per project TAO for local decision-makers and public service providers as a follow up to initial training to learn about adaptation experiences of communities in the project demonstration sites within their respective subdistricts

Output 1.3 Priority community climate risk reduction proposals integrated into Community Development Plans and submitted for approval and financing by subdistrict government

47. Concrete proposals for priority climate risk reduction measures with details of the funding and other resources needed to implement these will be integrated into the annual Community Development Plans that are prepared by each community and submitted for funding by the TAO.

Indicative Activities

- Integrate prioritized CRR proposals from the Community CRR Action Plans (Output 1.1) into the Community Development Plans for submission to the TAO
- Facilitate discussions between target communities and concerned TAO decision-makers and government staff on the CRR Action Plans and priority proposals included in the Community Development Plans
- Support target communities to obtain approval and financing of priority CRR proposals from the concerned TAO

Output 1.4 Increased TRCS & DDPM capacity for integrating climate change risks into DRM planning and practice

48. The project will help develop the capacity of both TRCS and DDPM to integrate climate change risks into their DRM programmes. The project will help TRCS to integrate climate risk analysis into their existing VCA methodology developed by IFRC and ADPC. This includes a generic assessment of current climate hazards, but does not specifically assess the implications of climate change for coastal communities or their adaptation options.

Indicative Activities

- Expand TRCS's VCA methodology to include climate risk analysis in consultation with IFRC and the Red Cross/Red Crescent Climate Centre
- Conduct at least one training workshop on climate change, community-based adaptation and the conduct of climate change VCAs for the following: 1) all core staff responsible for CBDRM programmes at TRCS's Relief and Community Health Bureau (RCHB); 2) at least 80% of RCHB CBDRM trainers; 3) at least 10 staff from central DDPM office including staff from DDPM's training academy; and 4) at least 50% of TRCS staff from Red Cross Health Station 12, which covers project target areas
- Work with DDPM to identify ways of introducing modules on climate risk analysis and adaptation planning into the curriculum of DDPM's training academy

OUTCOME 2: Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities

Co-financing amounts for Outcome 2: \$964,757
SCCF project grant requested: \$356,125

Without SCCF Intervention (baseline):

49. Both DDPM and the RCHB of TRCS are actively engaged in CBDRM programmes across the country, including in the project target provinces and subdistricts. RCHB is currently implementing a CBDRM programme under its Tsunami Recovery Programme with funding from the American Red Cross. Launched in 2008, the programme is being implemented in 54 communities in 4 southern provinces, including Trang, one of the project target provinces. The programme includes a range of DRM capacity building activities, including VCA trainings for community leaders and volunteers and the development or updating of community disaster management plans and contingency plans as well as the establishment of Community Disaster Management Committees and Community-Based Action Teams. RCHB also works closely with local authorities, NGOs and DDPM to develop evacuation plans and conduct evacuation drills.
50. DDPM's work in the project target provinces is guided by its Master Plan for Disaster Prevention and Mitigation (DPM). As of 2010, each province is also expected to prepare Provincial DPM Plan. To date, DDPM and RCHB programmes have focused on emergency response and recovery activities. In addition to the awareness generation and DPM training for government staff mentioned under Outcome 1, DDPM programmes include the establishment of early warning systems, such as "Mr Early Warning", the One Tambon One Search-and-Rescue (OTOS) teams and developing volunteer networks to assist in early warning and disaster relief efforts known as the Ao Pho Po Ro, the DDPM Civil Defence Volunteers. TAOs generally work closely with DDPM to establish the Civil Defence Volunteers and often provide budgetary support for tools, equipment and capacity development. At the community level, each village has its own 'Security Team', or the Chor

Ror Bo, who also receive training from subdistrict and provincial government in early warning skills and other emergency response skills (see Annex 5).

51. As a result of these various programmes, there is increasing capacity for early warning and emergency response among vulnerable coastal communities and local authorities. However, without SCCF support, the current emphasis on early warning and emergency response and recovery will persist, mainly because of insufficient knowledge about the range of locally feasible prevention options, particularly the potential of community-based solutions, and thus reluctance on the part of governments to invest in such approaches. Past efforts to address climate-related problems, such as coastal erosion, have involved the construction of costly seawalls with mixed results. Meanwhile, PPG studies revealed that some communities are taking actions that may have unplanned adaptation benefits, for example to address current climate and other natural hazards or to cope with declining natural resources on which their livelihoods are based. For example, in Tha Salah subdistrict in Nakhon si Thammarat Province, some local communities are altering their fishing and agricultural practices, rehabilitating mangroves and enacting rules for more sustainable environmental management and development, while others are considering changing their traditional fishing occupations (see Jitpiromsri 2009). In Patthalung, communities living in houses on stilts on the coast have been raising the height of their floors in response to flooding (SDF pers. comm. 2010) However, without SCCF support, community-based adaptation efforts are likely to remain *ad hoc* and largely accidental rather than systematically prioritized interventions.

With SCCF Intervention (adaptation alternative)

52. SCCF support will be used to provide small-scale adaptation grants to target communities to help them implement priority risk reduction measures identified in their Climate Risk Reduction Action Plans developed under Output 1.1. SCCF supported adaptation efforts will be monitored over the life of the project in order to assess the adaptation benefits generated. Additionally, SCCF support will enable the systematic scientific and technical analysis of at least two community-based adaptation measures implemented under Output 2.1 to assess their effectiveness and long-term potential in the context of a changing climate. Good practices and lessons learned will be documented and disseminated to planners and decision-makers at all levels, including the National Climate Change Committee and ONEP, who are particularly interested in operationalizing adaptation at the provincial level. By testing, documenting and communicating the benefits of community-based adaptation to planners and decision-makers (see also Outputs 3.3 and Outcome 4), the project will help overcome some of the current barriers to integrating community-based adaptation into provincial development planning.

Output 2.1 Up to 10 small-scale adaptation grants provided to target communities to demonstrate priority climate risk reduction measures identified in their Climate Risk Reduction Action Plans

53. Small-scale grants of up to a maximum value of US\$ 25,000 each will be disbursed by the project to up to ten target communities to implement, monitor and document at least one priority measure identified in their CRR Action Plans over the life of the project. Women are likely to play a prominent role in overseeing the local disbursement and management of the

adaptation grants as many already have experience of community savings groups, revolving funds and microcredit schemes (SDF 2009). The project will also assist communities to explore ways of using this seed money to leverage additional resources from both public and private sectors for community-based adaptation.

Indicative Activities

- Together with target communities, identify and agree criteria and a transparent process for disbursing adaptation grants to target communities and leveraging additional financial resources including how the total grant amount will be decided
- Develop and agree a process with target communities for monitoring and documenting the impacts of priority climate risk reduction measures implemented through the small-scale adaptation grants and any additional cofinancing leveraged through the project
- Disburse adaptation grants to target communities
- Facilitate, backstop and oversee implementation of adaptation measures by target communities
- Work with communities to identify an exit plan to sustain on-going adaptation measures implemented with the adaptation grants beyond duration of the project
- Analyze and disseminate experiences, impacts and lessons learned from implementing priority community-based adaptation measures

Output 2.2 The effectiveness and adaptation potential of at least 2 community-based adaptation measures in target coastal subdistricts systematically assessed

54. The project will select at least two significant community-based adaptation measures implemented under Output 2.1 for more detailed technical and scientific analysis to establish their effectiveness and long-term adaptation value.

Indicative Activities

- Select at least two promising community-based adaptation measures implemented under Output 2.1 for further systematic scientific and technical analysis and documentation
- Conduct scientific and technical assessment of effectiveness of selected CBA measures against current and future climate risks and analyze together with community-based monitoring data and other knowledge generated under Output 2.1
- Seek inputs from technical experts as needed, including climate change scientists, coastal engineers, coastal ecosystem managers, fisheries and agricultural experts to identify ways of strengthening existing community-based adaptation measures
- Document and disseminate assessment findings to project and non-project coastal communities, decision-makers, planners and other public service providers within local, provincial and national government, particularly those engaged in DRM and coastal zone development and management.

OUTCOME 3 Integration of climate change adaptation into provincial development plans and sector policies

Co-financing amounts for Outcome 3: \$ 431,000
SCCF project grant requested: \$105,316

Without SCCF Intervention (baseline):

55. Without SCCF support, there is currently little likelihood of climate change adaptation being mainstreamed into provincial development plans and sector policies. Provincial planning is guided by national policies and plans, including the plans and policies of individual line ministries, which currently do not explicitly address climate change. Although DRM is becoming increasingly mainstreamed into provincial development strategies and plans, the same has not yet happened for climate change, which is not recognized as a disaster risk category in the current DDPM Master Plan. While adaptation is one of the six pillars of the National Strategy on Climate Change Management (NSCCM), the National Committee on Climate Change and ONEP are still discussing how best to operationalize adaptation at the provincial level. Furthermore, the NSCCM does not identify community-based adaptation as an approach for building national capacity for climate change adaptation. Consequently, the government has no plans to develop the capacity of provincial government decision-makers and planners or provincial line ministry staff for climate risk management and adaptation planning.

With SCCF Intervention (adaptation alternative)

56. With SCCF support, it will be possible to demonstrate the value and ways in which community-based climate change adaptation can be supported through provincial development planning processes and individual sector policies. The project will work particularly closely with DDPM who act as the secretariat for all line agencies involved in DRM at the provincial level. Amongst other functions, DDPM ensures that the sector plans of other agencies are in line with DDPM's Master Plan and the Provincial DPM Plans that are still being developed. SCCF support will be used to help DDPM integrate climate change risk reduction into its next Master Plan for 2015-2019 and into the Provincial Disaster Management Plans of the 3 target provinces. This in turn will ensure the further integration of climate change risks into the sector plans of other agencies at the provincial level.

Output 3.1 Priority community climate risk reduction proposals submitted for provincial government approval and financing

57. As well as seeking funding from the TAO to implement priority measures identified in the community CRR Action Plans (see Output 1.3), the project will work with the concerned TAOs to help communities obtain funding from the provincial government through the Provincial Integrated Development Plan.

Indicative Activities

- Facilitate discussions between the TAO, community leaders and other community representatives as needed, to identify the most effective mechanism for submitting community CRR proposals to the provincial government
- Prepare and submit community CRR proposals in the appropriate format to the provincial government through the appropriate channels
- Periodically follow up on the status of approval of the CRR proposals with the concerned Integrated Provincial Administrative Committee, Provincial Planning Office and the Office of the Governor and share update of progress with target communities and the TAOs
- Analyze and document project experiences of trying to integrate community-based adaptation into provincial development planning, including lessons learned and recommendations for further uptake and replication

Output 3.2 Provincial decision-makers, planners and line ministry staff in 3 target provinces understand climate change risks and know how to integrate climate risk reduction measures into coastal development planning

58. The project will develop greater understanding of climate change risk management and adaptation planning among key decision-makers and development planners and selected line ministry staff at the provincial level. Developing such understanding is essential if communities are to receive provincial government support and financing for their CRR Action Plans as well as ultimately integrate community-based adaptation into provincial development planning.

Indicative Activities

- Assess the climate risk management training and information needs of provincial decision-makers and provincial and selected line ministry development planners in Nakhon si Thammarat, Phattalung and Trang, including DDPM, PONRE, and RID
- Design and conduct at least 3 practical and locally relevant training workshops on climate risk analysis and coastal adaptation planning for staff from the Provincial Governor's Offices and the Provincial Planning Offices of Nakhon si Thammarat, Phattalung and Trang, the concerned Provincial Administrative Organizations (PAOs) and staff of selected line ministries based in these provinces, including DDPM, PONRE, and RID (see Table 1)
- Organize at least one field visit to a project demonstration site in each target province for the concerned Provincial Governors and members of the Integrated Provincial Administrative Committee (IPAC) as well as key staff with the provincial Planning Offices, PAOs and staff of selected line ministries based in these provinces, including DDPM, PONRE and RID
- Facilitate discussions between the provincial planners, PAO members, line ministry staff at provincial level, TAO and community representatives from the target communities to

identify steps for obtaining provincial government and/or line ministry budget support for community-based adaptation proposals

Output 3.3 Recommendations for strengthening coastal climate risk reduction and community-based adaptation developed and discussed with provincial decision-makers

59. The project will draw upon the knowledge and experiences generated during the course of project implementation to develop recommendations for strengthening and supporting community-based adaptation for further discussion with provincial decision-makers and planners.

Indicative Activities

- Based on analyses conducted under Outputs 3.1 and 4.1, develop a discussion paper targeted at provincial planners and decision-makers that a) outlines the factors that affected the community ability to successfully obtain government financing for their priority climate risk reduction proposals and b) provides recommendations for strengthening support for community-based adaptation through integrated provincial development plans and other provincial development planning processes, including DRM plans
- Organize consultations with provincial decision-makers including the Provincial Governor and key members of the Integrated Provincial Administrative Committee to present and discuss the guidance note

Outcome 4 Project knowledge captured, disseminated and replicated through dedicated follow-up activities

Co-financing amounts for Outcome 4:	\$379,565
SCCF project grant requested:	\$104,625

Without SCCF Intervention (baseline):

60. There is very little experience of coastal climate risk management or community-based adaptation in Thailand (Sections 1.2 & 1.3). Additionally, because of limited empirical evidence of the development benefits of community-based adaptation, there is currently no support for community-based adaptation through provincial public budgets. Without SCCF support, this situation is likely to prevail for the foreseeable future.

With SCCF Intervention (adaptation alternative)

61. The project will generate a range of lessons and valuable knowledge on different aspects of community-based coastal adaptation in the project target areas. Most importantly, however, the project will yield invaluable lessons about what is needed to successfully integrate

community-based adaptation into provincial and local government development planning processes in Thailand. Such knowledge will be critical for strengthening and replicating community-based adaptation across Thailand. Additionally, SCCF support will help to ensure that this knowledge is systematically captured and analyzed and widely disseminated both within Thailand and internationally through various networks and web platforms, including the global Adaptation Learning Mechanism (ALM), the Red Cross/Red Crescent Climate Centre and the regional Adaptation Knowledge Platform.

Output 4.1 Project knowledge and lessons learned systematically analyzed and documented

62. The project will produce at least one analytical paper on the key lessons learned during the course of implementation with clear recommendations for strengthening support for community-based adaptation (CBA) through decentralized development planning processes. The analysis will give special emphasis to the current and potential role of women in CBA given the important role that women are known to have played in both emergency response and longer-term recovery following the 2004 tsunami. The paper will be used as the basis for conducting high-level consultations with national policy makers. Key lessons learned and recommendations will also be disseminated through a national conference that will bring together a range of technical experts, researchers and practitioners.

Indicative Activities

- Systematically codify and document project knowledge and lessons learned
- Produce at least one analytical paper that a) critically analyzes and documents the factors that determined the extent to which communities were able to obtain local and provincial government support, including financing from public budgets for their climate risk reduction proposals; b) identifies any barriers that remain to be overcome to effectively mainstream community-based adaptation into decentralized development planning in Thailand; and c) analyzes the current and potential role of women in CBA
- Disseminate and discuss major findings, conclusions and recommendations from the analytical paper with key decision and policy makers, including the National Committee on Climate Change, the Secretary General of ONEP, the National Committee on Disaster Prevention and the DG of DDPM, the National Environment Board and provincial governors.
- Share key project lessons and recommendations through at least one national conference targeting technical experts, development professionals and the academic community, particularly DRM and development experts and practitioners, climate change scientists and policy-makers, coastal development and environmental planners and managers.

Output 4.2 Increased awareness of climate change risks and community-based adaptation options and experiences among coastal communities in Thailand

63. The project will promote cross-community learning through various means, including arranging visits by non-project coastal communities to project demonstration sites and by sharing project knowledge and experiences through the numerous volunteer and NGO networks operating in southern Thailand as well as through local information media such as community radio.

Indicative Activities

- Disseminate project adaptation knowledge and experiences including lessons learned through relevant local volunteer networks including DDPM and TRCS networks and various NGO and CBO networks (see Annex 5)
- Arrange at least 5 exchange visits between the target communities to enable exchange of experiences and knowledge generated through the project of implementing priority climate risk reduction measures and obtaining financial support through local and provincial development plans and budgets
- Arrange at least 3 visits for non-target coastal communities to learn from target communities about their experiences of implementing priority climate risk reduction measures and of obtaining financial support through local and provincial development plans and budgets

Output 4.3 Project knowledge and lessons learned disseminated nationally and internationally through websites, adaptation networks, the media and public events

64. Project knowledge, including technical reports, case studies, lessons learned and good practices in coastal CBA will be made publicly available through major knowledge-sharing networks and web-based platforms. At the national level, a Climate Change Adaptation page will be hosted on TRCS's website. Links to the TRCS CCA website will be created on DDPM's website and other relevant government websites. All information will also be made available to the CCKMC. Project knowledge will also be disseminated through the Red Cross/Red Crescent Climate Centre website, the regional Adaptation Knowledge platform, the newly established Community-Based Adaptation Exchange (CBA-X) and the global Adaptation Learning Mechanism (ALM) platform.

65. Additionally key lessons and recommendations generated by the project will disseminated through various media including the national press, and where possible, through radio and TV as well as by contributing project knowledge products for dissemination at public awareness events organized by TRCS and DDPM such as the annual World Disaster Day event or the UN Day for Disaster Reduction.

Indicative Activities

- Establish a Climate Change Adaptation webpage on TRCS's website through which all project knowledge products including major technical reports will be made available, with links from DDPM and other relevant government websites to TRCS's CCA website
- Share project knowledge, lessons learned and best practices with the CCKMC, the Red Cross/Red Crescent Climate Centre, the UNEP regional adaptation knowledge platform, the CBA-X and the ALM
- Disseminate project generated knowledge on CBA and other lessons learned through the media, including national and local newspapers, radio and television networks and by distributing project knowledge products through the annual events of DDPM, TRCS, SDF and UNDP.

2.5. Key indicators, risks and assumptions

66. The main overall indicator of project success will be the successful institutionalization of government support for community-based adaptation in the three target project provinces. This will be specifically measured by: a) the number of community climate risk reduction proposals that are integrated into Provincial Development Plans and receive endorsement from the Provincial Administrative Committee; and b) the number of proposals that are financed through the annual Provincial Action Plans. Another important measure of success will be the number of CBA measures that are supported through TAO and/or PAO budgets. At the policy level, project success will be partly determined by the effective mainstreaming of climate risk reduction into DDPM policies, notably its next Master Plan for the period after 2012 as this guides DDPM programming at national and provincial levels. Project success at the policy level will also be measured by the number of recommendations on CBA that are integrated into national adaptation policies and strategies by ONEP and the NCCC.
67. Additionally, the project will contribute to UNDP's delivery of development results in the key areas of poverty, governance and gender, including the achievement of several CPAP outputs (see Cover Page). Two of the project's three target provinces have low and medium Human Achievement Index (HAI) rankings, 25 and 38 out of 76 respectively (UNDP 2007).⁹ Within these provinces, the project will be working with particularly vulnerable communities such as fishing communities. Together with the PEI project (Section 2.3), the SCCF project will generate an invaluable body of knowledge and experience on how to help poor communities in Thailand make use of the new opportunities created by decentralization to influence public and private investment to meet community development priorities. While PEI focuses on sustainable environmental management for development and the SCCF project on climate change resilient development, both projects will generate important lessons about how communities can make their voices better heard in the development

⁹ The HAI was developed by UNDP Thailand in 2003. It provides a better indicator of the status of human development across the country and allows comparison between provinces.

planning process. Additionally, the SCCF project will support the integration of indigenous and scientific knowledge on climate change vulnerabilities and adaptation options.

68. The project will also support the implementation of government policies on decentralization and strengthened local governance through its targeted capacity development components on climate risk analysis and adaptation planning for local and provincial government planners and public service providers and for local communities, with special emphasis on women (see Section 2.3). At least three project outcomes (Outcome 1, 2 & 4) will contribute to improving gender equality. Indicators to track this have been included under Outcomes 1 and 4 in the project results framework (see Section 3) and will be developed for Outcome 2 during the project inception phase.
69. Project indicators are also aligned with indicators in the draft Results Based Management Framework (RBMF) for the GEF/LDCF/SCCF Adaptation to Climate Change Programming Strategy. Outcome 1 of the project will contribute to increased knowledge and understanding of climate variability and climate change induced threats in vulnerable coastal areas through climate change VCAs that will be institutionalized through TRCS and DDPM. Outcome 1 will also increase the adaptive capacity of subdistrict governments, DDPM and TRCS. Thus, Outcome 1 will contribute to the achievement of Outcome 1.1 and 1.2 of the RBMF. Outcome 1 and 2 will contribute to strengthened awareness and ownership of adaptation and climate risk reduction processes at the local level, corresponding to Outcome 1.3 of the RBMF. Under Outcome 3, the project seeks to mainstream community-based adaptation into the Integrated Provincial Development Plans of 3 provinces and also to integrate climate change risks into national DRM policy and plans with specific budgetary allocations for adaptation. This will contribute to RBMF Outcome 2.1 on mainstreaming adaptation into broader development frameworks at country level and in targeted vulnerable areas. Details of specific project indicators are given in the project results framework in Section 3.
70. Details of project risks and mitigation strategies are provided in Annex 6. These are primarily operational and political in nature and all are currently rated as low to medium (see Annex 6). Only the most critical risks and mitigation strategies are summarized here. A major category of risk centres around insufficient ownership and engagement in the project by key stakeholders and actors for different reasons, notably project target communities, subdistrict and provincial governments and national policy makers. The project's ultimate success hinges partly on decision-makers at different levels of government, particularly provincial governments, being persuaded of the development value of allocating budgetary resources to CBA. This in turn will depend partly on the degree to which the project is able to demonstrate the value of CBA to decision-makers. This risk will be mitigated through a combination of awareness raising, capacity development and policy advocacy targeted at key government planners and decision-makers at different levels. The close involvement of DDPM in both project implementation and management will further off-set this risk. Finally, even if the project does not manage to obtain major financial support from government for community-based adaptation during its relatively short lifetime, it will nonetheless yield invaluable lessons on what is needed to effectively integrate community-based adaptation into decentralized development planning in Thailand. The project will produce at least one detailed analysis of the process undertaken and the factors that affected the achievement of the project's immediate objective, along with recommendations for strengthening the integration of CBA into development planning.

71. Weak community engagement and interest in the project is considered a lower risk, given that strong community engagement in other initiatives along with one or more of the main project implementing partners is one of the criteria for their inclusion in this project (Annex 4). Furthermore, past knowledge sharing and exchange of experiences between national Red Cross/Red Crescent societies, IFRC and volunteers worldwide have shown that there are hardly any problems conveying the concept of climate change, and that people are generally very enthusiastic about pro-active and forward-looking disaster risk reduction activities. However, community interest and engagement may wane if project interventions do not generate tangible benefits, particularly through the demonstrated adaptation measures. This risk will be mitigated by prioritizing interventions to be supported through the small-scale adaptation grants according to their likelihood of generating demonstrable benefits within the project timeframe.

2.6. Cost-effectiveness

72. The main alternatives to community based adaptation in Thailand's coastal zones include a) the retrofitting of existing coastal infrastructure, which would ultimately imply much higher investments than a long-term resilience strategy; b) additional investments in emergency relief and disaster response, which would add to the human and material losses that have already been incurred after a disaster has hit vulnerable coastal communities; and/or c) additional investments in climate change resilient "hard" measures including coastal defences such as sea walls and land reclamation, which are extremely expensive and have had mixed results in the past.

73. A number of alternative project designs were considered during the project preparation phase including an exclusive focus on policy advocacy or capacity development. However, a key barrier to community-based adaptation in Thailand is the absence of evidence on the development benefits of CBA. Thus, the demonstration of community-based adaptation is a central component of the project to which adequate resources had to be allocated to generate evidence from a range of settings that would provide sufficient diversity of experiences. However, since the ultimate goal of the project is to catalyze systemic change, it was necessary to ensure that adequate resources were also allocated to policy advocacy at the national and provincial levels and capacity development of key planners and decision-makers at the provincial and subdistrict levels. Consequently the number of demonstration sites was limited to 3 provinces and up to 5 subdistricts. This was identified as the optimal number given project resources and timeframe, although initially more provinces were under consideration and stakeholder consultations were eventually held in 4 provinces. The number of communities has been limited to 10. This sample provides sufficient breadth and diversity of experiences to both showcase successful examples of community-based adaptation and conduct meaningful analyses of the process of integrating community-based adaptation into development planning processes in Thailand. Such showcasing and analyses are critical to scaling up and replicating successful project approaches to mainstreaming community-based adaptation in other parts of Thailand. Another important project objective is to empower communities to take advantage of new opportunities to participate in development planning as a result of decentralization and administrative reforms. Therefore, it was decided to focus on helping communities identify and articulate their adaptation needs and implement priority adaptation measures by providing small-scale adaptation grants. This will help to develop community capacity through a process of learning by doing. The project could have taken a more technocratic

approach to identifying and designing priority climate risk reduction measures in demonstration sites, but this would have been much more financially costly in terms of consultant fees, travel and other costs, as numerous technical experts would have had to be engaged. Such an approach would have been less sustainable partly because of the higher costs involved, but also because it would not contribute to local capacity development and empowerment. Cost-effectiveness is further enhanced by the great replication potential of the project using the wide-reaching networks of the main project partners, TRCS, SDF and DDPM, who work with local communities and local authorities across the country.

2.7. Sustainability

74. The project strategy of building on the baseline programs of DDPM and TRCS (Outcomes 1 & 2), combined with empowering communities to access government budgets to finance their Climate Risk Reduction Action Plans (Outputs 1.3 & 3.1), will help to ensure the longer-term sustainability of project results beyond the life of the project. The project will also develop the capacity of DDPM and TRCS for climate risk planning and community-based adaptation (Output 1.4) so that these agencies will be in a position to continue supporting community-based adaptation through their own programmes beyond the life of the project. By the end of the project, target local and provincial governments will also have a far greater understanding of climate risk analysis and the benefits of adaptation planning as a result of the project's training programmes (Outputs 1.2, 1.4 & 3.2) and policy advocacy (Outputs 1.3, 3.3 & 4.1). This in turn should generate greater support for community-based adaptation by provincial and subdistrict governments in project target areas. The integration of community-based adaptation into provincial development plans will be further strengthened by the project's successful integration of climate change risks into national disaster risk management policies, which will then be reflected in the provincial disaster management plans (Outcome 3). Additional ways of strengthening the sustainability of project results will be considered during the development of the project exit strategy under Output 2.1.

2.8. Replicability

75. Community-based adaptation strategies may not be able to address all projected climate change risks for Thailand's coastal areas equally effectively, either in the short-term and/or over time. However, these have the potential to reduce community vulnerability to climate change impacts. Anticipatory climate risk planning will also help to greatly reduce the costs of emergency disaster response and relief efforts. The project's emphasis on low-cost, locally appropriate measures allows for considerable up-scaling and replication of successful adaptation measures by other coastal communities in Thailand. Replicability will be further enhanced if the project is successful in catalyzing public sector funding for community-based adaptation through the Integrated Provincial Development Plans and the Subdistrict Development Plans. Strategies for promoting up-scaling and replication are included under every project outcome, but will be particularly supported through Outcome 4, which focuses on both in-country and international learning, particularly cross-community and cross-sector learning, and transfer of knowledge and skills through a range of approaches including information sharing and exchange through national websites and international climate change adaptation platforms, such as the global Adaptation Learning

Mechanism, as well as through a national conference on CBA in Thailand in the project's final year (see Sections 2.4 and 3).

76. The project's implementation through a partnership of TRCS, DDPM and SDF will help to further ensure the visibility and national recognition of project achievements and facilitate wider replication through existing and new programmes of the implementing partners as well as through their vast networks. Both DDPM and TRCS have significant national and field presence as well as a long history of working together (Section 2.3 & 2.4). TRCS is the largest humanitarian organization in Thailand with 75 provincial chapters and 216 district branches. DDPM has 18 regional offices as well as provincial staff. Both TRCS and DDPM also have large volunteer networks that offer an important means of disseminating project results (see Table 1 & Annex 5). TRCS and DDPM also work closely with SDF, other NGOs and government authorities at national and sub-national levels. Although SDF is a Bangkok-based NGO, it also has tremendous capacity to support replication through the national networks of local NGOs and CBOs that it supports, in its capacity as Secretariat for SAN and as the national coordinator for the Global Network of CSOs for Disaster Reduction (Table 1 & Annex 5).

2.9 Stakeholder involvement plan

See Annex 5

3. Project Results Framework

<p>This project will contribute to achieving the following Country Programme Outcome as defined in the CPAP:</p> <ol style="list-style-type: none"> 1. Improved responsiveness and quality of social services at sub-national level of achievement of MDG Plus 2. Enhanced local democracy and meaningful participation of civil society, especially women and youth, in decision-making 4. Efficient community network in sustainable use of local natural resources and energy with engagement in policy and decision-making processes 5. Increased capacity of national focal points in addressing policy barriers to local sustainable management of natural resources and environment in selected ecosystems 6. Alternative knowledge management for community learning based on indigenous livelihoods and evidence-based empirical studies that strengthen case for pro-poor policies.
<p>Country Programme Outcome Indicators:</p> <ol style="list-style-type: none"> 1. No. of people, including women and vulnerable populations, engaged in the governance process for achievement of MDG Plus in Thailand 2. Achievement of national environmental policy targets 3. Responsive knowledge hubs that serve community needs and provide interactive communication with the public
<p>Primary applicable Key Environment and Sustainable Development Key Result Area: Promote climate change adaptation</p>
<p>Applicable SOF: SCCF</p>

	Indicator	<i>Baseline</i>	<i>Target</i>	Sources of Verification¹⁰	Risks and Assumptions
Overall Objective: To increase the adaptive capacity of vulnerable coastal communities in Thailand to climate change-related risks and extreme weather events					
Project Objective: To integrate the climate change vulnerabilities and adaptation options of coastal communities into development planning processes in three provinces of southern Thailand	<p>Number of community climate risk reduction proposals mainstreamed into the Provincial Development Plans and endorsed by the Integrated Provincial Administrative Committee (IPAC)</p> <p>Number of Provincial Action Plans with committed budget for community-based</p>	<p>0</p> <p>0</p>	<p>At least 10 priority community climate risk reduction proposals integrated into the Provincial Development Plans of the 3 project target provinces and endorsed by their IPAC</p> <p>At least 3 Provincial Action Plans include a budget allocation for community-based climate and disaster risk</p>	<p>Provincial Development Plans of the 3 target provinces & confirmation of endorsement by their IPAC</p> <p>Provincial Action Plans of the 3 target provinces</p>	<p>Communities perceive sufficient value in climate risk planning to invest time and effort in seeking provincial government support and financing for community-based adaptation</p> <p>Provincial and subdistrict authorities and Village Chiefs perceive the</p>

¹⁰ The project terminal evaluation report will also be an important source of verification of achievement of project objective, outcomes and outputs.

	Indicator	Baseline	Target	Sources of Verification ¹⁰	Risks and Assumptions
	<p>climate and disaster risk reduction</p> <p>Number of national policies that support the integration of community-based adaptation into provincial development planning</p>	0	<p>reduction</p> <p>Community-based adaptation is strengthened at the provincial level through at least one major national policy as follows:</p> <ul style="list-style-type: none"> - DDPM endorses recommendations developed through the project for integrating climate change risk reduction and community-based adaptation into its next Master Plan, and/or - the National Committee on Climate Change (NCCC) develops guidelines based on project results and recommendations for operationalizing the adaptation pillar of the national climate change strategy at the provincial level 	<p>Feedback from DDPM and NCCC through the Project Board</p> <p>Terminal Evaluation (TE) report</p>	<p>development value of community-based adaptation</p> <p>Key national policy-makers such as the NCCC and DDPM recognized the development benefits of supporting community-based adaptation and take appropriate steps to integrate support for CBA through provincial development planning processes</p>
<p>Outcome 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities</p>	<p>Number of Community Climate Risk Reduction Action Plans prepared that reflect the differential vulnerabilities of different sections of society, particularly women</p>	0	<p>At least 10 Community Climate Risk Reduction (CRR) Action Plans prepared based on participatory, gender-sensitive climate change VCAs</p>	<p>The Community CRR Action Plans</p>	<p>Local communities and TAO members perceive value in climate risk planning and have the time to engage actively in project activities.</p>
	<p>Proportion of TAO members, including women members, with increased understanding of climate-related risks and the development benefits of adaptation</p>	0	<p>At least 80% of all TAO members, including all women members, are aware of climate-related risks and the development benefits of community-based adaptation</p>	<p>Baseline & end of project qualitative surveys of elected and appointed TAO members.</p> <p>TE report</p>	
<p>Output 1.1 Climate change vulnerabilities and adaptation options of 10 target communities systematically analyzed and documented through participatory and gender-sensitive climate change Vulnerability and Capacity Assessments (VCA)</p>					

	Indicator	Baseline	Target	Sources of Verification ¹⁰	Risks and Assumptions
Output 1.2 Key public service providers and decision-makers at the subdistrict and village levels have increased ability to integrate climate risk reduction and community-based adaptation into coastal development planning					
Output 1.3 Priority community climate risk reduction (CRR) proposals integrated into Community Development Plans and submitted for approval and financing by subdistrict government					
Output 1.4 Increased TRCS and DDPM capacity for integrating climate change risks into DRM planning and practice					
Outcome 2 Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities	Number and impact of priority climate risk reduction measures being implemented by target communities	0 (to be confirmed during the VCAs)	Up to 10 target communities implementing at least one priority climate risk reduction measure identified in their Climate Risk Reduction Action Plans (Outcome 1) and at least 50% of communities report tangible benefits as a result	Community surveys at the beginning (ie VCA reports) and end of the project TE Report	Communities are able to work cooperatively to prioritize adaptation interventions for implementation with project support
	Number of community-based adaptation measures evaluated for their effectiveness and long-term potential	0	Scientific and technical assessments of at least 2 community-based adaptation measures implemented through small-scale project adaptation grants (Output 2.1)		Small-scale investments in community-based adaptation are able to generate demonstrable climate risk reduction benefits within project timeframe Communities remain committed to implementing and monitoring project-supported adaptation measures Meaningful scientific and technical assessments of demonstrated adaptation measures is possible within the available timeframe and budget.
Output 2.1 Up to 10 small-scale adaptation grants provided to target communities to demonstrate priority climate risk reduction measures identified in their Climate Risk Reduction Action Plans					
Output 1.2 The effectiveness and adaptation potential of at least 2 community-based adaptation measures in target coastal sub-districts systematically assessed					
Outcome 3 Integration of climate change adaptation	Number of priority community climate risk reduction proposals	0	At least 50% of proposals submitted by target project communities integrated into	The Provincial Development Plans and Action Plans of the project	Concerned Provincial Governors and IPACs are persuaded of the

	Indicator	Baseline	Target	Sources of Verification ¹⁰	Risks and Assumptions
into provincial development plans and sector policies	financed through provincial government budgets		Provincial Development Plans and financed through the Provincial Action Plans	target provinces	value of supporting community-based adaptation through provincial development plans and budgets. The project has laid strong foundations from the very start to continually engage and inform key provincial planners and decision-makers thereby building strong interest and support for project objectives.
<p>Output 3.1 Priority community climate risk reduction proposals submitted for provincial government approval and financing</p> <p>Output 3.2 Provincial decision-makers, planners and line ministry staff in 3 target provinces understand climate change risks and know how to integrate climate risk reduction measures into coastal development planning</p> <p>Output 3.3 Recommendations for strengthening coastal climate risk reduction and community-based adaptation developed and discussed with provincial decision-makers</p>					
Outcome 4 Project knowledge captured, disseminated and replicated through dedicated follow-up activities	Number of dedicated follow up activities to systematically document and disseminate project knowledge and lessons learned	0	<p>Project knowledge and lessons learned shared nationally and internationally through the following minimum number of activities:</p> <p>a) one analytical paper documenting key lessons learned, including the current and potential role of women in CBA, with recommendations for integrating CBA into decentralized development planning in Thailand</p> <p>b) 1 national conference on CBA in Thailand</p> <p>c) at least 8 field visits to project demonstration sites by target and non-target communities in the target provinces to promote</p>	<p>TE report</p> <p>a) The published paper</p> <p>b) The conference proceedings</p> <p>c) Community field visit reports and other community feedback</p>	<p>Knowledge and lessons are systematically captured, analyzed and documented throughout project implementation.</p> <p>There is strong interest in climate change adaptation and in learning from the experiences of other communities.</p> <p>The platforms are still functional and their 'owners' continue to see value in sharing project information through these platforms</p>

	Indicator	<u>Baseline</u>	<u>Target</u>	Sources of Verification¹⁰	Risks and Assumptions
			cross-community learning d) project knowledge and lessons learned disseminated through at least 2 national websites and 2 international climate change adaptation platforms	d) TRCS and DDPM websites, the ALM, the IFRC Climate Change Centre website and the regional Adaptation Knowledge Platform	
Output 4.1 Project knowledge and lessons learned systematically analyzed and documented Output 4.2 Increased awareness of climate change risks and community-based adaptation options and experiences among coastal communities in Thailand Output 4.3 Project knowledge and lessons learned disseminated nationally and internationally through websites, adaptation networks, the media and public events					

4. Total budget and workplan

Award ID:	00059765	Project ID(s):	00074912
Award Title:	Thailand: Strengthening the Capacity of Vulnerable Coastal Communities to address the risk of Climate Change and Extreme Weather Events		
Business Unit:	THA10		
Project Title:	Thailand: Strengthening the Capacity of Vulnerable Coastal Communities to address the risk of Climate Change and Extreme Weather Events		
PIMS no.	3771		
Implementing Partner (Executing Agency)	Thai Red Cross Society (TRCS) in collaboration with the Sustainable Development Foundation (SDF) and the Department of Disaster Prevention & Mitigation (DDPM)		

SOF (Outcome/Atlas Activity)	Responsible Party/ Implementing Agent	Fund ID	Donor Name ¹¹	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities	TRCS, SDF, DDPM, UNDP	62160	SCCF	71300	Local Consultants	36,062	17,063	0	53,125	A
				72100	Contractual services	65,000	0	0	65,000	B
				71600	Travel	14,000	3,000	0	17,000	C
				72500	Supplies	8,000	2,000	0	10,000	D
				74200	Audiovisual & Print Production Costs	8,000	4,000	0	12,000	E
				74500	Miscellaneous	10,000	5,000	0	15,000	F
				Total Outcome 1		141,062	31,063	0	172,125	
OUTCOME 2: Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities	TRCS, SDF, DDPM	62160	SCCF	71300	Local Consultants	10,000	12,125	12,000	34,125	G
				72100	Contractual services	0	0	40,000	40,000	H
				71600	Travel	2,000	3,500	3,500	9,000	I
				72500	Supplies	1,000	2,000	2,000	5,000	J
				72600	Grants	100,000	150,000	0	250,000	K
				74200	Audiovisual & Print Production Costs	1,500	2,000	4,500	8,000	L
				74500	Miscellaneous	2,000	4,000	4,000	10,000	M
Total Outcome 2		116,500	173,625	66,000	356,125					
OUTCOME 3: Integration of climate change	TRCS, SDF, DDPM	62160	SCCF	71300	Local Consultants	0	27,062	21,563	48,625	N
				72100	Contractual services	0	9,000	0	9,000	O
				71600	Travel	0	9,300	4,500	13,800	P
				72500	Supplies	0	5,000	0	5,000	Q

¹¹ Only cash co-financing (cost sharing at project level or other trust funds) actually passing through UNDP accounts should be entered here and in Atlas. Other co-financing should NOT be shown here.

adaptation into provincial development plans and sector policies				74200	Audiovisual & Print Production Costs	0	3,000	5,000	8,000	R
				74500	Miscellaneous	0	12,891	8,000	20,891	S
				Total Outcome 3		0	66,253	39,063	105,316	
OUTCOME 4: Project knowledge captured, disseminated and replicated through dedicated follow-up activities	TRCS, SDF, DDPM	62160	SCCF	71200	International Consultants	0	0	7,500	7,500	T
				71300	Local Consultants	5,000	5,000	24,125	34,125	U
				72100	Contractual services	0	0	10,000	10,000	V
				71600	Travel	3,000	3,000	15,000	21,000	W
				72500	Supplies	0	0	5,000	5,000	
				74200	Audiovisual & Print Production Costs	0	0	15,000	15,000	X
				74500	Miscellaneous	0	0	12,000	12,000	Y
				Total Outcome 4		8,000	8,000	88,625	104,625	
MONITORING & EVALUATION	TRCS, UNDP	62160	SCCF	71200	International Consultants	0	7,500	10,000	17,500	Z
				71300	Local Consultants	0	4,500	6,000	10,500	AA
				72100	Contractual services	3,000	0	1,000	4,000	AB
				71600	Travel	0	3,000	3,000	6,000	AC
				74100	Audits	2,000	2,000	2,000	6,000	AD
				Total M&E		5,000	17,000	22,000	44,000	
PROJECT MANAGEMENT UNIT	TRCS	62160	SCCF	71300	Local Consultants	26,400	26,400	26,400	79,200	AE
				71600	Travel	1,000	1,000	1,000	3,000	AF
				72200	Equipment & Furniture	1,600	1,000	0	2,600	AG
				72500	Supplies	700	700	700	2,100	AH
				Total Management		29,700	29,100	28,100	86,900	
PROJECT TOTAL						300,262	325,041	243,788	869,091	

Summary of Funds:¹²

	Amount Year 1	Amount Year 2	Amount Year 3	TOTAL Y1-Y3
SCCF	300,262	325,041	243,788	869,091
TRCS	739,405	366,045	687,500	1,792,950
SDF	187,000	172,000	0	359,000
UNDP	276,884	255,938	20,000	552,822
TOTAL	1,503,551	1,119,024	951,288	3,573,863

Budget Note	Description of cost item
A	Technical trainers @\$300/day and facilitators @\$200/day for 5 climate change training workshops within target subdistricts (Output 1.2) and 1 training workshop for TRCS & DDPM (Output 1.4). Technical support team field coordinators @\$500/month and assistants @\$350/month. Project Technical Advisor @\$200/day (concessionary rate for regular technical inputs over life of project)
B	Contract (\$35,000) for facilitating design, conduct and analysis of 10 climate change VCAs (Output 1.1). Contractual services for organization of training workshops (Outputs 1.2 & 1.1)
C	Travel for consultants and contractors in Notes A & B to and within project target provinces
D	Supplies for training workshops, climate change VCAs and preparation of Community Climate Risk Reduction (CRR) Plans
E	Costs associating with printing training and information materials, including translation costs, and printing Community CRR Plans
F	Overall, approximately 5% of the total project budget has been earmarked for contingencies, including inflation, currency exchange fluctuations and other external shocks that may increase the costs of travel and supplies, as well as any unforeseeable developments during project implementation that require adaptive management actions that cannot be finance through the existing planned budget. The amounts under Miscellaneous head are higher for outcomes with potentially greater implementation risks.
G	Technical support team field coordinators @\$500/month and assistants @\$350/month. Project Technical Advisor @\$200/day (concessionary rate for regular technical inputs over life of project)
H	Technical and scientific assessments of at least two community-based adaptation (CBA) measures demonstrated under Output 2.1 (Output 2.2) @ \$20,000 per assessment

¹² Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

I	Travel costs of a) Technical Support Team to support project implementation in 5 subdistricts and b) consultants hired to undertake technical and scientific assessments of CBA measures (Note H)
J	Supplies for Technical Support Teams and for project communities to monitor and document the implementation of their priority adaptation measures (Output 2.1)
K	10 Adaptation grants of up to \$25,000 each to support implementation of priority adaptation measures in the Community CRR Plans (Output 2.1)
L	Print production and translation costs of technical and scientific assessments of CBA under Output 2.2 and to produce reports of community adaptation experiences from Output 2.1 for wider dissemination to policy makers and others
M	See Note F
N	Technical trainers @\$300/day and facilitators @\$200/day for 3 climate change training workshops at provincial level (Output 3.2). Technical support team field coordinators @\$500/month and assistants @\$350/month. Project Technical Advisor @\$200/day (concessionary rate for regular technical inputs over life of project)
O	Policy expert @\$300/day to prepare a discussion paper targeted at provincial planners and decision-makers with recommendations for strengthening CBA (Output 3.3)
P	Travel for consultants and contractors in Notes N & O to and within project target provinces
Q	Supplies for training workshops
R	Print production of training materials and policy discussion paper (Notes N & O)
S	See Note F
T	Policy expert @\$500/day to prepare an in-depth analysis of the key lessons learned by the project (Output 4.1)
U	Technical support team field coordinators @\$500/month and assistants @\$350/month. Project Technical Advisor @\$200/day (concessionary rate for regular technical inputs over life of project)
V	Contractual services for organization and conduct of national conference on community-based adaptation
W	Travel costs of Technical Support Team
X	Print production and translation costs for publishing and disseminating key project lessons and recommendations and other major project knowledge projects
Y	See Note F
Z	International evaluation expert @\$500/day to lead project mid-term and terminal evaluations
AA	National evaluation expert @300/day to conduct project mid-term and terminal evaluations together with international evaluation expert
AB	Contractual services for organization and conduct of project inception workshop (Table 2)
AC	Travel for international and national evaluation experts, including one international return flight to Bangkok
AD	Annual audits (Table 2 & Section 5)
AE	National Project Manager @\$1,500/month for 36 months and a Finance & Administrative Assistant @\$700/month for 36 months
AF	Travel costs for NPM for 2-3 monitoring missions/year to project target provinces and subdistricts including demonstration sites
AG	Equipment costs for the purchase of laptops and a printer/fax
AH	Office supplies for PMU

5. Management Arrangements

77. The project will be executed through UNDP's NGO execution modality and will be implemented over three years beginning in August 2010. The project's lead Executing Partner will be the Thai Red Cross Society (TRCS), who will work in close association with the Department of Disaster Mitigation & Prevention (DDPM) of the Ministry of Interior (MOI) and the Sustainable Development Foundation (SDF). The Project Board (see below) will be co-chaired by the Director General, DDPM and the Director of the Relief & Community Health Bureau (RCHB) of TRCS. The Project Management Unit (PMU) will be located within the RCHB in Bangkok.
78. UNDP will serve as the Implementing Agency for the Project. TRCS and UNDP will jointly monitor and evaluate all project activities. The project will be governed in accordance with UNDP's Results Management Guideline (RMG), SCCF rules and procedures and TRCS's operational policies in line with the governance structure described further below. Brief Terms of Reference for the Project Board and key project staff and consultants are provided in Annex 7.
79. **The Project Board (PB)** is the strategic decision-making body of the project. It will provide overall guidance and direction to the project, and also be responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in project strategy or implementation approach. Membership of the Project Board will include:
- 1) a Senior Official of DDPM;
 - 2) the Director, RCHB/TRCS;
 - 3) the National Project Director (NPD), who will be nominated by RCHB/TRCS in consultation with the other implementing partners;
 - 4) the Director of SDF;
 - 5) a UNDP representative in the role of Senior Supplier (representing the interests of the parties providing funding to the project); and
 - 6) the Provincial Governors of Nakhon si Thammarat, Trang and Phattalung or their representatives
80. Potential members of the Project Board are reviewed and recommended for approval during the Project Advisory Committee (PAC) meeting. The PB will meet at least twice a year. Meetings will be co-chaired by a Senior Officer of DDPM and the Director RCHB. Other relevant stakeholders may be invited participate as appropriate. PB members are not funded through the project.
81. The PB plays a critical role in project monitoring and evaluations by assuring the quality and impartiality of these processes and products, and using evaluations for performance improvement, accountability and learning. The PB will undertake project assurance reviews at designated decision points during project implementation, or as required, at the request of the NPD. The PB can also approve the delegation of its project assurance responsibilities.
82. The PB approves the appointment and responsibilities of the National Project Manager (NPM). The approved annual work plans will be the instruments of authorization through which the NPM will deliver results. Based on the approved Annual Work Plan (AWP), the

Project Board can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans.

83. The PB will also play an important role in facilitating and promoting the national and provincial uptake and/or integration of policy guidelines emerging from the project. Additional functions of the PB include: to ensure that SCCF resources are committed exclusively to activities that relate to the achievement of the approved project objective and outcomes and that activities are in line with approved AWP; to arbitrate significant conflicts within the project; and to negotiate a solution to any major problems that arise between the project and external bodies.
84. PB decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In cases where consensus cannot be reached within the PB, the final decision shall rest with the UNDP Project Manager.

Roles and Responsibilities of TRCS and UNDP for Project Implementation

85. **The Executing Entity** is responsible and accountable for delivering planned project outputs and achieving the project objective and outcomes as well as for the effective and efficient use of donor resources. Thus, TRCS as the lead executing partner will have overall responsibility for the project. However, TRCS will work closely with DDPM and SDF to deliver the project's objective, outcomes and outputs in accordance with each partner's respective mandates and core competencies (see Stakeholder Involvement Plan, Annex 5), and the Annual Work Plans, once these have been prepared and approved. A capacity assessment of TRCS is being undertaken will be completed by May 2010 and the HACT Microassessment will be completed by October 2010.
86. **Project Assurance:** The project assurance function will be performed by UNDP to support the Project Board by carrying out objective and independent project oversight and monitoring functions. Project Assurance has to be independent of the Project Manager; therefore the Project Board cannot delegate any of its assurance responsibilities to the Project Director or the Project Manager. UNDP will ensure the application of UNDP administrative and financial procedures for the use of SCCF funds. UNDP will also ensure the monitoring and evaluation of project progress in terms of planned results according to the agreed monitoring plan and in line with UNDP, GEF and SCCF requirements, as described further in Section 6 below. Additionally, UNDP will assist in compiling lessons learned and sharing project experiences on a national, regional and international basis.
87. The key functions and responsibilities of UNDP the GEF Implementing Agency (IA) and TRCS as the Executing Agency (EA) are specified further below.
88. UNDP Thailand will take primary responsibility for the following functions with technical support from the Regional Technical Advisor for Climate Change Adaptation and in coordination with TRCS as appropriate:
 - Support project start up and inception
 - Provide implementation oversight, assurance, supervision, monitoring, technical backstopping and support, trouble-shooting, problem solving

- Financial oversight, receipt of funds from donor, verifying expenditures, advancing funds, issuing combined delivery reports, ensuring annual audits, financial closure, return of unspent funds, donor financial reporting
- Oversight of mid-term, final and other independent evaluations
- Project Closure and Evaluation, disposal of assets
- Systems, IT infrastructure, branding, learning, dissemination, knowledge transfer

89. As part of its project assurance responsibilities, UNDP Thailand will also:

- Provide guidance to TRCS on compliance with GEF regulations, and coordination with related projects, consistent with UNDP's role as the GEF Implementing Agency and member of the UN Country team.
- Review PIRs, MTE, and Final Evaluations of the project and contribute to ratings and evaluations, as part of GEF Implementing Agency function at the CO level.

90. TRCS will take responsibility for the following functions of the Executing Agency:

- Take the lead role in project management, including issuing and monitoring contracts to carry out project activities, acting as the focal point for communication with the national agencies, and organizing meetings of the national project board and facilitate and support technical and financial reporting by the project
- TRCS will also ensure effective coordination between the project's other implementing partners, SDF and DDPM and provide a single point of project management and reporting to UNDP Thailand as the GEF implementing agency and representative of the donor
- Additional functions of TRCS, will include:
 - Procurement
 - Undertake all procurement activities (goods, services, equipment)
 - Maintain an inventory of all capitalized assets
 - Personnel Administration
 - Recruit and administer international and local personnel
 - Administer personnel salaries, allowances and entitlement and manage payroll
 - Financial Management
 - Review and authorize operating budgets

91. Upon request from the Royal Thai Government or from TRCS, UNDP may provide additional functions supplied by letter of agreement, and on a cost recovery basis, including procurement, personnel administration and additional financial management functions over above its responsibilities as the GEF Implementing Agency.

92. In order to accord proper acknowledgement to the GEF for providing funding, a GEF logo should appear on all relevant project publications and project hardware purchased with GEF funds, including any vehicles purchased under the project. Any citation on publications regarding projects funded by the GEF should also accord proper acknowledgement to the GEF. The UNDP logo should also be displayed on project publications and hardware, and

be more prominent and separated from the GEF logo if possible, as UN visibility is important for security purposes.

93. In line with the United Nations reform principles, especially simplification and harmonization, the Annual Work Plan (AWP) will be operated with the harmonized common country programming instruments and tools, i.e. the UNPAF results matrix, M&E and the Harmonized Approach to Cash Transfer (HACT). At the day-to-day operational level, ATLAS will be used for keeping track of timely and efficient delivery of the activities and for effective financial monitoring under the AWP.
94. **The National Project Director (NPD)** The NPD is responsible for ensuring the overall smooth implementation of the project in line with planned project objective and outcomes. The NPD will provide strategic support as needed to the project, particularly to ensure strong engagement from key national and provincial stakeholders, particularly key government decision-makers. The NPD, with assistance from the NPM, will also be responsible for reporting on project progress to the PB and for coordinating the flow of results and knowledge from the project to the Project Board. This function is not funded through the project.
95. The **Project Management Unit (PMU)** will be located within the RCHB of TRCS. RCHB will also contribute office space, communication equipment and staff time. Core PMU staff (see below) will be funded by the project throughout its duration to ensure the delivery of results as specified in the Project Results Framework and Annual Workplans. The PMU will include a National Project Manager and a Finance and Administrative Assistant.
96. **The National Project Manager (NPM)** is a full time project-funded staff who will be hired by the Executing Partner. The NPM will report to the NPD and receive guidance from the PB. The NPM has the authority to run the project on a day-to-day basis on behalf of TRCS, within the parameters laid down by the PB. The NPM's primary 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 time and budget. The NPM is responsible for the day-to-day management, administration, coordination, and technical supervision of project implementation. The NPM will work closely with the Technical Support Teams and provide management oversight to the field coordinators and assistants hired through the project. S/he will monitor work progress, and ensure timely delivery of Outputs as per Annual Workplans and the Project Results Framework and within budget. The NPM will ensure a high quality of project planning, management and technical and financial progress monitoring and reporting. The NPM will be supported by a full-time Finance & Administrative Assistant (see TORs in Annex 7).
97. **The Technical Support Team (TST)** will include 1-2 project-funded **Field Coordinators and Facilitators** in each target province under the supervision and direction of the NPM. The TST will also include the local TRCS and DDPM representatives as well as the most appropriate local NGO and CBO partners of SDF. The local TSTs will be responsible for the day-to-day implementation of the project at the subdistrict and community levels. The TSTs will receive technical guidance from the Technical Support Team.
98. A multidisciplinary **Technical Advisory Group (TAG)** with expertise on climate change science, climate change adaptation, including community-based approaches, DRM and

coastal zone management will be established to provide technical oversight and guidance to the project on a regular basis. The TAG will support the PB in its monitoring/assurance functions and will be supported by in-kind cofinancing contributions. Members of team will be identified with the help of the Climate Change Knowledge Management Centre, SEA-START, MONRE amongst others and approved by the Project Board. Separate working groups on key thematic areas related to the delivery of different project outcomes may be established. In consultation with the NPM, the TAG and its working groups will provide regular technical oversight and backstopping to the field-based Technical Support Teams, including assistance in overcoming technical problems affecting the delivery of project results. Additionally, the TAG will play an important role in policy advocacy at the provincial and national levels. The TAG ensure the flow of project information and lessons learned to the Integrated Provincial Administration Committees of the target provinces as well as to key national policy and decision-makers within MONRE, including ONEP, the NCCC, MOI and other key agencies, committees, departments and research institutions.

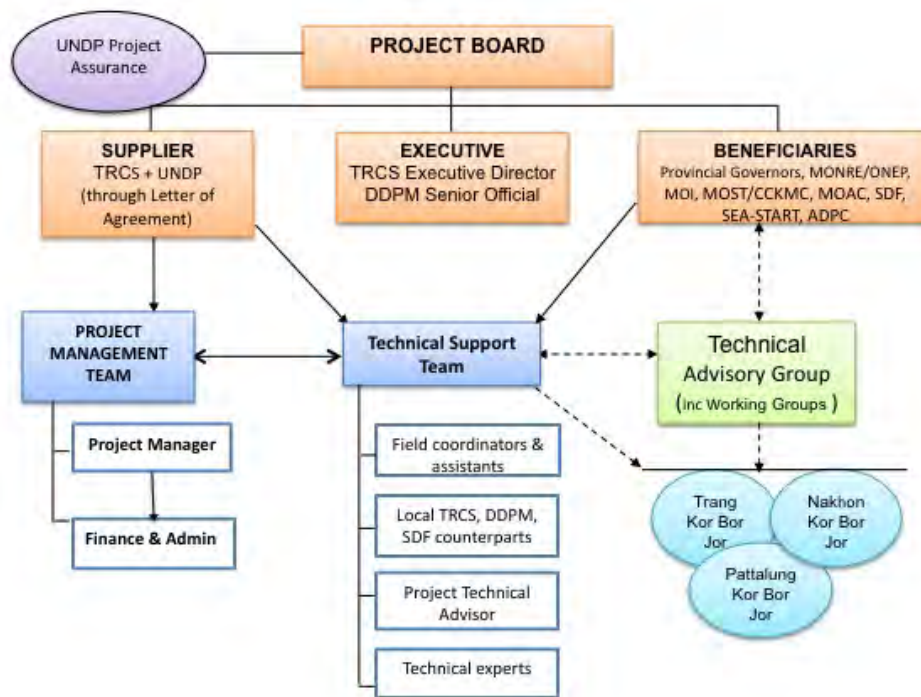


Figure 1 Project Management Structure

6. Monitoring Framework and Evaluation

99. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP Regional Coordination Unit (RCU). The Project Results Framework in Section 3 provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis of the project's Monitoring and Evaluation system.
100. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to some major M&E milestones are provided in Table 2.

Project Inception Phase

101. A **Project Inception Workshop** will be conducted within four months of project start up with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO and representation from the UNDP Regional Technical Advisor (RTA) from the UNDP RCU. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan. A fundamental objective of the Inception Workshop will be to present the modalities of project implementation and execution, document mutual agreement for the proposed executive arrangements amongst stakeholders, and assist the project team to understand and take ownership of the project's goals and objectives. Another key objective of the Inception Workshop is to introduce project staff with the UNDP expanded team which will support the project during its implementation, namely the UNDP CO, responsible UNDP RTA and other RCU staff.
102. The Inception Workshop should address a number of key issues including:
- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project.
 - b) Discuss the roles, functions, and responsibilities within the project's decision-making, management, assurance and advisory structures (detailed in Section 5), including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and other project-related structures will be discussed again as needed in order to clarify for all, each party's responsibilities during the project's implementation phase.
 - c) Review and agree on the indicators, targets and their means of verification in the Project Results Framework (PRF) as well as recheck assumptions and risks.
 - c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements, including roles and responsibilities for different M&E functions, with a particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Project Report (APR) as well as mid-term and terminal evaluations (MTE & TE). The M&E work plan and budget should be agreed and scheduled.

d) Discuss financial reporting procedures and obligations, and arrangements for annual audit, including UNDP project related budgetary planning, budget reviews, and mandatory budget rephasings.

e) Plan and schedule Project Board meetings. The first Project Board meeting should be held within the first 12 months following the Inception Workshop.

103. An Inception Workshop Report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

First Annual Workplan

104. After the Inception Workshop, the PMU will prepare the project's first Annual Work Plan (AWP), on the basis of the Project Results Framework (PRF). This will include reviewing the PRF (indicators, means of verification, assumptions and risks), imparting additional detail as needed, and on the basis of this exercise finalize the AWP with precise and measurable performance indicators, and in a manner consistent with the expected Outcomes for the project.

Quarterly:

105. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform. The UNDP risk log (Annex 6) shall be regularly updated in ATLAS, and no less often than every six months where critical risks have been identified. **Quarterly Progress Reports (QPR)** will be prepared by the PMU and submitted to the UNDP CO for sharing with the UNDP Regional Coordination Unit.

Annually:

106. **Annual Project Review/Project Implementation Reports (APR/PIR):** This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and GEF reporting requirements and is to be completed by the project in the prescribed report format by 1st August of each year.

107. The APR/PIR includes, but is not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project Outcome (annual).
- Lessons learned/good practice.
- AWP and other expenditure reports
- Risk and adaptive management
- ATLAS QPR

108. **Annual Audit:** The executing agency TRCS will provide the UNDP Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of SCCF funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted

by a legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

Periodic Monitoring through field visits:

109. UNDP CO and the UNDP RTA in Bangkok will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/Back to Office Report (BTOR) will be prepared by the CO and UNDP RTA and will be circulated no less than one month after the visit to the project team and Project Board members.

Mid-term evaluation:

110. The project will undergo an independent Mid-Term Evaluation (MTE) at the mid-point of project implementation around January 2012. The MTE will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for the MTE will be prepared by the UNDP CO based on guidance from the UNDP RTA/RCU and UNDP-EEG. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Office Evaluation Resource Center (ERC).

Table 2: M&E workplan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ National Project Director (NPD) ▪ National Project Manager (NPM) & Project Management Unit (PMU) ▪ Project Board ▪ UNDP CO, UNDP Climate Change Adaptation (CCA) Regional Technical Advisor (RTA) 	3,000	Workshop conducted & report completed within two months of full Project Team being on board and no later than six months after project start up
Measurement of Means of Verification of Project Results/Impact (<i>Outcome & Objective Indicators</i>)	<ul style="list-style-type: none"> ▪ PMU with technical inputs from UNDP CCA RTA as required 	To be finalized in Inception Phase and presented at Inception Workshop.	Start, middle and end of project (during evaluation cycle) and annually as required.
Measurement of Means of Verification of	<ul style="list-style-type: none"> ▪ PMU with technical inputs from UNDP CCA RTA as required 	To be determined during regular AWP and APR/PIR preparation.	Twice a year, during preparation of AWPs

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Project Progress <i>(Output and Activities)</i>			and APR/PIRs
APR/PIR	<ul style="list-style-type: none"> ▪ NPM & PMU ▪ NPD ▪ TRCS, DDPM, SDF ▪ GEF OFF ▪ UNDP CO, UNDP RTA, UNDP EEG 	None	Annually
TPR & Minutes	<ul style="list-style-type: none"> ▪ GEF OFF, NPD ▪ TRCS, DDPM, SDF ▪ UNDP CO ▪ PMU 	None	Every year upon completion of the APR/PIR
Project Board Meetings	<ul style="list-style-type: none"> ▪ PB Members, including Minister ▪ DDPM, NPD & UNDP CO ▪ NPM & PMU 	None	Twice year, once on completion of the APR/PIR, and more frequently if needed
ATLAS QPR	<ul style="list-style-type: none"> ▪ PMU ▪ UNDP CO 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ NPM & PMU ▪ NPD, TRCS, PB ▪ UNDP CO ▪ UNDP CCA RTA ▪ External Consultants (i.e. evaluation team) 	Indicative cost: 15,000	At the mid-point of project implementation.
Terminal Evaluation	<ul style="list-style-type: none"> ▪ NPM & PMU ▪ NPD, TRCS, PB ▪ UNDP CO ▪ UNDP CCA RTA ▪ External Consultants (i.e. evaluation team) 	Indicative cost: 20,000	At least six months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ NPM & PMU ▪ TRCS, DDPM, SDF ▪ NPD ▪ UNDP CO 	None	At least three months before the end of the project
Terminal TPR & Minutes	<ul style="list-style-type: none"> ▪ GEF OFF, NPD ▪ TRCS, DDPM, SDF ▪ UNDP CO ▪ PMU 	None	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ PMU 	Indicative cost: 6,000 (2,000/year)	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP CCA RTA (as appropriate) ▪ Government representatives 	For SCCF supported projects, UNDP costs paid from IA fees and operational budget	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$44,000	

End of Project:

111. An independent Terminal Evaluation (TE) will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and GEF

guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The TE will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for the TE will be prepared by the UNDP CO based on guidance from the UNDP Regional Coordinating Unit and UNDP-EEG.

112. The TE should also provide recommendations for follow-up activities, particularly to strengthen and sustain project achievements and adaptation benefits generated. The TE requires a management response, which should be uploaded to the UNDP-EEG Project Information Management System (PIMS) and to the UNDP Evaluation Office's Evaluation Resource Center (ERC).
113. During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replication of project results.

Learning and Knowledge Sharing

114. The project will systematically document and analyze project knowledge and lessons learned as an on-going process from project inception to completion. UNDP/GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. As understanding and sharing lessons learned is considered critical, a key project deliverable (Output 4.1) is to produce at least one analytical paper on lessons learned by the end of the project to enable others to learn from, and build on, the project's experiences of integrating community-based adaptation into decentralized development planning processes in Thailand. The project will also identify and participate in relevant and appropriate scientific, policy-based and/or other networks, which may be of benefit to project implementation through lessons learned, particularly in the fields of community-based DRM and climate change adaptation and coastal zone management and protection.
115. Project results and key lessons learned will be widely disseminated within the target provinces, nationally and internationally through a range of dedicated follow-up activities under Outcome 4 (see Section 2.4 and the Project Results Framework), including exchange visits to promote cross-community learning, a national conference on CBA towards the end of the project, and through the national websites of TRCS and DDPM as well as through international adaptation knowledge platforms such as the ALM, the IFRC Climate Centre and the Regional Adaptation Knowledge Platform

7. Legal Context

116. The Royal Thai Government and the United Nations Special Funds have entered into the Agreement to govern assistance from the Special Fund to Thailand, which was signed by both parties on 04 June 1960. Pending the finalization of the Standard Basic Assistance Agreement (SBAA) between UNDP and the Government, the Agreement will govern the technical assistance provided by UNDP Thailand under the Country Programme Action

Plan (CPAP), which was signed between the Government and UNDP Thailand on 10 January 2007.

117. Under the UNDP-funded programmes and projects, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner in accordance with the aforementioned Agreement between the UN Special Fund and the Government of Thailand concerning Assistance from the Special Fund 1960.

118. The implementing partner shall:

- put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the Programme is being carried;
- assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

119. 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 this agreement.

120. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document 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).

121. The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>

122. This provision must be included in all sub-contracts or sub-agreements entered into under this Programme Document.

8. Annexes