



## MEDIUM-SIZED PROJECT PROPOSAL

### REQUEST FOR GEF FUNDING

**AGENCY'S PROJECT ID:** 3257  
**GEFSEC PROJECT ID:**  
**COUNTRY:** Global  
**PROJECT TITLE:** Adaptation Learning Mechanism:  
 Learning by Doing  
**GEF AGENCY:** UNDP  
**OTHER EXECUTING AGENCY(IES):** UNOPS  
**DURATION:** 3 years  
**GEF FOCAL AREA:** Climate Change  
**GEF OPERATIONAL PROGRAM:**  
**GEF STRATEGIC PRIORITY:** SPA  
**ESTIMATED STARTING DATE:** June 2005  
**IMPLEMENTING AGENCY FEE:** \$146,000

FINANCING PLAN (US\$)	
GEF PROJECT/COMPONENT	
Project	723,600
PDF A*	0
<b><i>Sub-Total GEF</i></b>	723,600
CO-FINANCING**	
GEF Agency (UNDP)	30,000 (cash) 20,000 (in-kind)
Government of Switzerland	25,000
Bilateral	0
NGOs	340,000 (cash) 230,000 (in-kind)
Others	0
<b><i>Sub-Total Co-financing:</i></b>	645,000
<b><i>Total Project Financing:</i></b>	1,368,600
FINANCING FOR ASSOCIATED ACTIVITY	
IF ANY:	

\* Indicate approval date of PDF A

\*\* Details provided in the Financing Section

**CONTRIBUTION TO KEY INDICATORS OF THE BUSINESS PLAN:** The project will maximise adaptation learning through implementation of projects under the GEF's Strategic Priority on Adaptation (SPA), and will generate knowledge to help further guide implementation and improve impacts of GEF adaptation projects. The objective of the project is to provide tools and establish a learning platform for mainstreaming adaptation to climate change within the development planning of GEF eligible countries. The project proposes to: capture the current state of knowledge on planning, implementing and mainstreaming adaptation; identify key gaps in adaptation knowledge gaps; and develop responses to the knowledge gaps. An adaptation knowledge base will be designed, and operationalized through this project.

This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for a Medium-sized Project.

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 Date: 20 April 2005

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## **PART I - PROJECT CONCEPT**

### **A - SUMMARY**

The goal of the Global Environment Facility (GEF) Adaptation Learning Mechanism (ALM) is to contribute to the mainstreaming of adaptation to climate change within development planning of non-Annex I countries. To support this goal, the project aims to maximise learning for those planning and implementing adaptation activities. This proposal responds to the knowledge gaps expressed in the GEF's Strategic Approach for Adaptation (SPA) (GEF/C.23/Info.8/paragraph 26), and aims to generate knowledge that can help guide implementation of the GEF's adaptation pilots under its Strategic Priority for Adaptation. It focuses on actually adapting to climate change, rather than the preceding process of assessing adaptation needs.

From the GEF family perspective, sharing knowledge among users will ensure that the GEF portfolio, as a whole, can benefit from the comparative strengths and experience of the various Agencies. From the perspective of the broader range of adaptation planners and implementers, the ALM can serve as a central source for emerging adaptation experience and lessons, derived from the national scale to the local level.

To date, much has been made of the mainstreaming of adaptation with other sustainable development goals, but little practical experience has been documented. The synthesis and exchange of knowledge and "good practice" through the ALM will help to bring adaptation action into clearer focus within the larger development arena. The development and use of an adaptation "knowledge base" will be achieved with the active participation of a diversity of experts, practitioners, and institutions. Ultimately, this project will provide the GEF with options for a longer-term strategy to respond to country needs for enhancing adaptive capacity, while at the same time it will engage directly with key adaptation planners and implementers in GEF-eligible countries, helping them to build adaptive capacity among the range of potential beneficiaries.

### **B - COUNTRY OWNERSHIP**

#### **1. COUNTRY ELIGIBILITY**

All countries eligible for GEF funding that have ratified the United Nations Framework Convention on Climate Change (UNFCCC) can be involved in this project as contributors to, and users of, the ALM. In particular, the participation of countries that are implementing GEF adaptation projects will be actively sought.

#### **2. COUNTRY DRIVENNESS**

The mainstreaming activities under this project will assist non-Annex I Parties to better incorporate adaptation into national development policies. The project is motivated in large part by the wealth of experience in non-Annex I countries in coping with climate variability and impacts, contrasted with the growing need among these same countries for the effective capture, organization and sharing of this knowledge. The early steps to adapt to climate change have served to emphasize the need for effective adaptation learning and sharing of experience. The activities of the ALM will respond to unique regional and country knowledge needs, while assembling a knowledge base for use throughout both the South and North. Improved global understanding of adaptation, fostered through the ALM, could in addition assist

countries to improve on-going GEF projects, for example, the vulnerability and adaptation (V&A) components of their National Communications and/or National Adaptation Programmes of Action (NAPA).

The ALM Project Management Unit (see Section E) will therefore be based in a non-Annex I institution, and will involve ownership by other institutions which are associated with the Project Management Unit through long term collaborative arrangements. The ALM will receive strategic and operational guidance from an advisory group, and technical guidance from a technical committee (see Section E); both entities will include country-level representation to ensure that country needs drive the ALM process. The ALM will function in part through a global consortium of both Northern and Southern organizations; in each region, it will function through regional consortia that have a history of collaboration on issues of sustainable development and climate change; and the majority of its activities will be carried out by a core team of predominately non-Annex I groups (see Section E).

## C – PROGRAM AND POLICY CONFORMITY

### 1. PROGRAM DESIGNATION AND CONFORMITY

This project will directly inform the GEF Strategic Priority on Adaptation, and fulfills the role of the monitoring and learning program proposed under the “GEF Assistance to Address Adaptation” (GEF/C.23/Inf.8) to achieve active learning and dissemination during the development and implementation of the GEF adaptation portfolio.

### 2. PROJECT DESIGN

Adaptation has recently emerged at the forefront of the climate negotiations. Adaptation to climate variability is not new, however. Throughout history, societies have been adapting to climate extremes (e.g., floods and droughts) and natural climate variability. Yet efforts to gain experience with adaptation to climate change have thus far focused on assessing vulnerability and adaptation (e.g., through the GEF’s enabling activities and other efforts). Current coping and adaptation in the face of climate variability are not well documented, and explicit efforts to adapt to climate change tend to be few in number and new, so that only limited lessons can be gleaned. While there are now a handful of GEF adaptation projects on the ground, for example, it is far too early in the project cycle to fully answer the myriad of technical and methodological issues that are arising in the adaptation arena. Given that adaptation is now a pilot strategic priority for the GEF and an emerging national priority for many developing countries, there is an urgent need to expand the shared knowledge base on adaptation (see GEF/C.23/Inf.8/paragraph 26).

One approach for advancing this knowledge base and overcoming the existing knowledge gaps is the creation of an ALM through the project described here.

*General project framework:* The ALM would aim to accelerate the adaptation learning process by operating at each of the three major stages in the adaptation planning and implementation cycle (as outlined in Figure 1), and meeting knowledge needs of the adaptation planners and implementers engaged therein. At each stage, adaptation planners and implementers

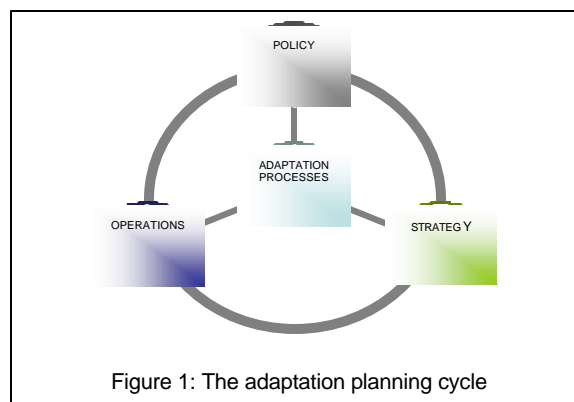


Figure 1: The adaptation planning cycle

will come from a range of levels of decision-making, from the intergovernmental to the national to the local, and from the governmental to the non-governmental. The project described here aims to offer a platform for learning (defined here as a “knowledge base”) that can respond to the needs of each planner/implementer as they progress through the adaptation process. For example, the project will systematically assess the experience gained by the GEF family during the development and implementation of the GEF adaptation pilot, as well as capture project-level lessons emerging from a range of other sources at the national, sectoral and local levels. (Such sources may include, for example, the Assessment of Impacts of and Adaptation to Climate Change (AIACC Project), emerging National Adaptation Plan of Actions (NAPA) projects, cross-sectoral initiatives, like the Water for Food Programme of the Consultative Group on International Agriculture Research (CGIAR), the Vulnerability and Adaptation Resource Group (VARG), the GEF Small Grants Programme and its local partners, and non-governmental actors like the Regional and International Networking Group (RING).) This “captured knowledge” of existing coping and adaptation options will be organized and made available through the project’s knowledge base, and can directly foster learning and exchange.

Members of the GEF family operate at each of the stages outlined in Figure 1, with special emphasis on certain stages for certain agents – e.g., the GEF Secretariat at the strategic level (and others), the World Bank, UNDP and UNEP at all three levels, and UNDP country offices and Small Grants Programme at the operational level. Adaptation actors within countries operate at these stages as well, from key government ministries engaged in priority issue identification, to climate change teams and sectoral planners engaged in strategic planning, to project developers and civil society organizations engaged in ground-level implementation. As work at each of these stages gets underway, the knowledge gaps are quickly becoming apparent. The ALM would operate at all of these stages of the adaptation process, supporting the GEF as well as the range of adaptation planners and implementers as they generate “good practice” experience and draw on existing lessons.

*Mechanism design:* The project envisages the global and regional ALM “consortia” as key informal institutional mechanisms for feeding the lessons on adaptation into the knowledge base and channeling them back to the users. With this platform of integrated layers, the project is designed to produce clear deliverables for the GEF, as well as a broader suite of deliverables for the surrounding adaptation community.

The consortia will include expert representatives, both users and providers of information, from each of the stages (policy, strategy, and operations), as well as each “layer” of scale (intergovernmental to local) outlined in Figure 2. They will include in particular government officials concerned with

issues of climate change and adaptation, researchers and research institutions, representatives of intergovernmental organizations and international financial institutions, NGOs and advocacy groups, and relevant business associations. The Southeast Asian regional consortium would include government officials represented on the working groups on environment and energy of the greater Mekong sub-region, regional representatives from UNDP (especially the Small Grants Program), UNEP, and ESCAP, research and policy institutions from the Sustainable Mekong Research Network (Sumernet), key

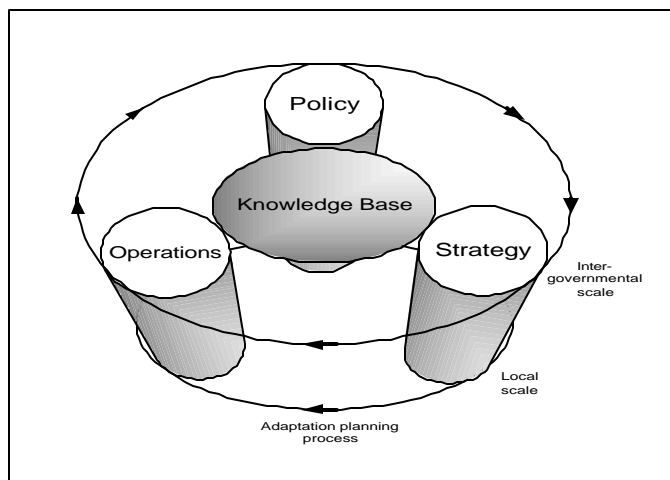


Figure 2: A knowledge base to support adaptation planning &

community development organizations, and environmental members of national and regional chambers of commerce and industry.

Members of the consortia will bring their knowledge of best practices in adaptation, screening criteria, ground-truthing, funding objectives, and access to research outputs and institutions. Members will interact through, for example, working groups, research tasks, and outreach activities. The consortia are intended to engage users at the local (as well as broader) scales and to be a channel of communication for users at all scales. Additionally, they provide a vehicle for planning future developments around adaptation learning, fund raising, and capacity building.

Regional “node” institutions (including members of the RING) will serve as key bridging agents between the regional and global networks and as conduits of information from smaller scales into the knowledge base and back. The “node” institutions will help launch and support knowledge capture and dissemination activities of regional participants, building on existing initiatives where possible. For instance, once convened by the project, it is anticipated that the global consortium will be sustained through the leveraged activities of the regional sub-networks, a limited number of ALM meetings, direction of the project core team, and investment in collaborative fundraising.

*Responsiveness to the GEF:* Turning to the immediate issue, the GEF has recently launched its adaptation pilot. The recent Council document (GEF/C.23/Inf.8) contains operational guidelines for the adaptation strategic priority. It proposes operational criteria for programming \$50M of pilot and demonstration adaptation projects (November, 2003). The GEF Council also committed an additional \$60M in the context of non-Annex I Second National Communications, a portion of which may be used for assessing adaptation. There are also more than 40 NAPAs under preparation. The GEF will build on these on-going activities to implement its adaptation pilot.

While countries welcome this new funding, these funds should be used effectively. Adaptation interventions should be consistent with the principles of the GEF Trust Fund for delivering global benefits and for reducing the vulnerability of natural and social systems to climate change. Many governments and development agencies view adaptation as part of the human development agenda. Clearly, a careful balance needs to be found between achieving global environmental benefits, national development goals, and real improvements in local adaptive capacity. Any adaptation projects funded by the GEF would need to consider these requirements.

The GEF Scientific and Technical Advisory Panel (STAP) has begun consideration of some of these issues. With early STAP decisions in mind, this project would build on and support the STAP’s work, as well as complement the work by addressing additional, closely-related knowledge gaps and areas of uncertainty and concern.

*Overall project profile:* The project will be structured to respond to the adaptation planners and implementers working at each of the three stages of the adaptation planning cycle outlined above. In addition, the ALM has several other distinguishing features.

Structurally, the ALM will:

- represent a collaborative, global learning process, with leadership, facilitation and strong participation by Southern institutions, including a Project Management Unit based in a developing country (SEI-Asia, based in Bangkok);
- originate as a Southeast Asian focused regional consortia, expanding in year 2 to other regions;
- consist of an ALM Secretariat, Implementing Core Team, Advisory Group, and Technical Committee, with small working groups convened for the purpose of targeted research (see section E (2) for more information);

- link directly with all projects approved under the GEF Strategic Priority on Adaptation, including any new community-based adaptation activities;
- focus on supporting adaptation planning and implementation, while linking with complementary networks which focus on the preceding steps of vulnerability adaptation assessment (e.g., VulnerabilityNet.org, a future UNEP Collaborating Center on adaptation) and related activities.

Operationally, the ALM will:

- operate in a responsive manner to the expressed knowledge needs of GEF-eligible countries;
- draw upon a reservoir of global as well as regional resources both internally through the research centers of core partners (e.g., SEI's 5 centers), and externally through a global consortium of north-south institutions and regional consortia of research institutions and practitioners;
- operate through a partnership with regional consortia in each of the selected regions, for gathering lessons (e.g., best practice), sharing information and improving the relevance of outputs;
- be facilitated in part through these consortia, through which end-user needs will be expressed and responded to;
- focus on providing support to the GEF adaptation pilot, while simultaneously supporting closely-related knowledge needs at national to local levels;
- receive strategic guidance from an Advisory Group and technical advice from a Technical Committee (see Section E) to ensure that both GEF and small-scale user needs direct the ALM process;
- produce a core set of deliverables aimed at meeting the knowledge needs of both the GEF and the broader adaptation community;
- share information directly with – and derive information from – prospective users, ranging from policy developers and national development planners, to local project managers;
- operate as an independent, open-source knowledge base, through which information and tools are shared freely by users;
- undertake collaborative fundraising on behalf of the global as well as regional consortia both to help realize the knowledge-related opportunities created by the project and to sustain the partnerships and the process; and
- operate on a global basis, with support from the global ALM consortium. However the project will be launched on a pilot scale in the Southeast Asia and the Pacific Island region in the first year, supported by a regional consortium of research and policy institutions, with expansion to the global scale in the second and third years.

### **Project goal**

The project will contribute to the mainstreaming of adaptation to climate change within development planning of non-Annex I countries.

### **Project objective**

The project will provide tools and establish a learning platform for mainstreaming adaptation to climate change within the development planning of GEF eligible countries.

The project will maximise adaptation learning from the GEF's Strategic Approach for Adaptation (SPA).

Sharing knowledge among the GEF family will ensure that the GEF portfolio, as a whole, can benefit from the comparative strengths of the various Implementing Agencies. Such ongoing feedback can inform the GEF's pilot as it evolves, on an on-going basis. This approach will identify potential issues sooner, rather than later. At the end of the pilot, the successes and failures of the GEF's pilot interventions will have been assessed and compared with lessons emerging from other sources, and these lessons learnt will

inform the GEF's future role on adaptation. Ultimately, this project will also provide the GEF with options for a longer-term strategy to respond to country needs for enhancing adaptive capacity. This longer-term vision is important because adaptation, together with mitigation, is increasingly seen as integrated climate change policy.

To support this objective, the project has two immediate outcomes: (1) the state of knowledge on planning, implementing and mainstreaming adaptation captured; in other words, to answer the questions: "What do we know about 'doing' adaptation?" and "What are the key knowledge gaps?"; and (2) a knowledge base and active learning process for the ALM designed, established, and operationalized; in other words, to answer the question, "How are we going to learn?"

## **Project outcomes, activities, outputs and timeline**

**Outcome 1:** the current state of knowledge on planning, implementing and mainstreaming adaptation captured. Key gaps in adaptation knowledge gaps identified and responses to the knowledge gaps developed.

**Rationale:** Guidance on adaptation was provided by the UNFCCC Tenth Conference of the Parties (Decision 8/CP. 10). From the GEF perspective, these decisions will have implications for its future strategy on adaptation and fundraising efforts. These decisions place additional pressure on the GEF institution to rapidly broaden its experience on adaptation. From the perspective of country-level actors undertaking or preparing to undertake adaptation activities, existing experience and guidance focuses most heavily on assessment and far less on implementation. There is a rapidly increasing need for greater knowledge on these issues and for existing knowledge gaps to be closed.

For example, the GEF Council document (GEF/C.23/Inf.8Rev.1) reiterates the "incremental costs" approach for distinguishing between local and global benefits, namely the difference between the costs of activities yielding global environmental benefits and the costs associated with the activities. It foresees the development of detailed guidelines and decision criteria as in the case of other thematic areas, as well as an adaptation learning mechanism to bring the experience of the funded projects into the framework. This proposal seeks to contribute to this process, and in particular help ensure that the detailed guidelines are directly contributive to the ultimate goals of the initiative, namely the mainstreaming of adaptation into existing activities, and the rendering of more efficient and effective activities.

As is well recognized, adaptation involves a different type of complexity than that of mitigation. In particular, the key objective, namely adaptation to a future impact, is unobservable. Most adaptation measures focus on proxy indicators, including those for adaptive capacity. However, while the shift from "adaptation" to "adaptive capacity" has certainly been helpful in defining adaptation as an on-going process, it has not made the distinction between incremental and baseline costs any more intuitive. This shift has also drawn attention both to the vulnerability of capital investments and the potential recipient of the capacity investment, be it a national governmental agency, the insurance industry, a data or monitoring institution, an NGO, or a rural community. These types of issues require distillation of key guidance and insights.

There are clearly thousands of ongoing development activities that contribute to adaptive capacity. Expenditures – whether incurred by GEF, other multilateral agencies, bilateral donors, NGOs, or others – for these activities can be made more efficient through the effective integration of adaptation within broader development activities. The ALM will facilitate this integration by supporting targeted inquiries into the development/adaptation relationship, the consolidation of resources on the subject, and the targeted development of new resources, as needed.

Outcome 1 is focused largely on the synthesis of existing knowledge and experience and, as needed, on targeted new assessment and information gathering.

→ **Activity 1:** Gain a new understanding of the successes, failures and “good practices” of adaptation planning, implementation and mainstreaming.

This would involve capturing lessons from both GEF and non-GEF projects, while building upon related work of the GEF STAP to provide added support to the GEF adaptation pilot (see outcome 3 of the GEF Council paper).

- *Activity 1.1: Review existing experience from adaptation-related activities.* This activity would involve the application of knowledge capture tools (e.g., screening tools, screening criteria), by the ALM core team and its consortia, to a range of existing experience from the development community at large (e.g., development project portfolios). The breadth of this exercise will be decided at the inception meeting and will depend on the baseline activities of the partners of the projects. A regional approach is expected to evolve.

The idea is to maintain a narrow initial focus, exploring concerns specific to the GEF and to the Southeast Asia pilot region as the project ramps up. Thus, assessment of, e.g., “good practice” would initially involve research of projects with particular relevance to the GEF portfolio and projects relevant to the unique climate risks of Southeast Asia. (For identifying GEF-relevant experiences, criteria specific to the GEF would be applied.)

As the project is expanded to other regions, this focus would be expanded to capture larger segments of existing knowledge (“best practice” and other), as outlined in Figures 1 and 2. The broadening of the focus would be coordinated under the guidance of the Advisory Group and Technical Committee. The ALM core team and regional consortia would coordinate a process whereby lessons of “good practice” are identified, distilled and organized into datasets for the knowledge base. To identify experiences from which users can learn, the project will need to adopt a basic, broad set of screening criteria (e.g., a combination of the NAPA core criteria, selected GEF criteria, and one or two others identified by the Advisory Group or Technical Committee; the specific composition of criteria would be determined in the early stages of the project.) The ALM core team would also support an ongoing process through which lessons would be continually identified and used to populate the knowledge base. This on-going synthesis of good practice guidance for adaptation planners and implementers would be a “living” synthesis, to be vetted and updated by participants in the global consortium as new experience becomes available and new understanding is gained. Another approach, which could be taken once all regional consortia are operational, would be to survey all completed NAPAs to capture information on country- and local-level adaptation experience and to make this broadly available through the knowledge bank.

- *Output 1.1: Good practice input for an ALM knowledge base.* The application of knowledge capture tools will produce a knowledge base (interactive, searchable) of lessons learnt and good practice for adaptation planning, implementation and mainstreaming.

Activity 1 will run primarily from mid-2005 through mid-2006, during which time, key resources for the GEF and other actors will become available. Population of the knowledge base will essentially span the entire project and could continue after the project’s close, albeit semi-autonomously, as the knowledge base continues to be expanded by participants.

→ **Activity 2:** Identify the key gaps in adaptation knowledge and develop responses to a core set of questions facing adaptation planners and implementers, including the GEF.



- *Activity 2.1: Respond to key emerging questions.* As actors begin to plan and implement adaptation actions, a number of important questions are arising. From the GEF perspective, these include questions such as: “How can community-based adaptation be most effectively supported through the GEF?”, “What is an appropriate scope and baseline for GEF adaptation projects?”, and “What are key operational limitations?” Questions uniquely relevant to the GEF would be explored by building on the initial (currently ongoing) inquiries of the STAP. Other adaptation planners find themselves asking additional questions, such as: “What is the best way to prioritize adaptation activities?”, “What are key adaptation technology considerations?”, and “What is the best way to mainstream adaptation into national (or sectoral, or local) planning?” Through this activity, the ALM core team would identify the key gaps in adaptation knowledge, and develop a set of resources to respond directly to these questions. Training material would be derived from these resources and delivered in workshops under Outcome 2.
- *Output 2.1: Set of adaptation learning resources.* The ALM core team would develop a highly targeted set of resources for use in conjunction with the ALM knowledge base, including an adaptation project prioritization matrix, and a series of reports addressing key gaps in knowledge. Among this series of reports would be a synthesis of options and priorities for long-term adaptation mainstreaming, geared toward the GEF directly (see outcome 4 of the GEF Council paper).

Activity 2 will run primarily from early 2005 through mid-2006, during which time, key lessons for the GEF and other actors will become available. Building upon the work of the STAP, a long-term adaptation strategy for the GEF will be developed in 2007 as a final activity under the project.

**Outcome 2:** A knowledge base and active learning process for the ALM designed, established, and operationalized.

**Rationale:** Today, climate change adaptation planning, implementation and mainstreaming are beginning to take shape at three generalized levels or stages (as illustrated in Figure 1): the policy level (e.g., in the form of broad awareness building and issue identification), the strategic level (e.g., in the form of national adaptation strategies), and the operational level (e.g., in the form of new sectoral regulations or development project guidelines). In recognition of this, and with an eye toward meeting needs of a range of adaptation planners and implementers, the ALM core team would structure its activities around these three stages, facilitating learning in consistent but uniquely appropriate ways for each. It would, for instance, seek to effectively engage national development planners and support them in mainstreaming adaptation. Both of the activities described below are intended to respond to each of the primary user groups along axes of scale and stage in the process. At any stage, the consolidation and exchange of good practice experience on adaptation implementation and mainstreaming requires ALM participants to help share those experiences in both directions – from the “ground level”, where adaptation experience exists, to the knowledge base, and from the knowledge base to prospective users.

The open-source nature of the learning platform and knowledge base is intended to support and encourage participants to take part in this exchange. For those project activities and outputs directly related to the GEF, guidance will be provided to the ALM core team by the Advisory Group.

This cluster of outcomes and activities is focused largely on creating the structure through which adaptation knowledge can be shared, and learning can take place.

→ **Activity 3:** Establish a global consortium for the support and facilitation of adaptation learning and information sharing.

- *Activity 3.1: Design and launch a global consortium for adaptation learning.* With leadership from the Project Management Unit, an independent consortium will be developed through the inter-linkage of existing relevant networks, the invitation of key organizations, and the self-directed participation of additional groups. A core team drawn from the consortium organizations, offering global representation, will be directly involved in producing project deliverables, conducting outreach and facilitating learning. The broader consortium will operate as an expert user group, providing review and critique of ALM products, feeding experiences and lessons into the ALM knowledge base, and drawing on that growing base of knowledge for direct use and dissemination.
- *Output 3.1: A functional, active network of stakeholders for ALM support and facilitation.* Led by the Project Management Unit at SEI-Asia, the global consortium will aim to engage key practitioners, experts, institutions and existing networks. Efforts will be made to identify new partners from outside the climate change community. Examples include the Regional and International Networking Group of sustainable development institutes (RING, a network with a strong and active climate change adaptation group), the Red Cross Climate Programme and other disaster preparedness groups, the Vulnerability and Adaptation Resource Group (VARG, a mixed collaboration of multilateral, bilateral and NGO participants), VulnerabilityNet.org and AIACC project participants (networks of expertise in V&A assessment), key UNDP Programmes (e.g., the Bureau of Crisis Prevention and Reduction and the Energy and Environment Group), cross-sectoral initiatives, such as the Consultative Group on International Agricultural Research (CGIAR) Water for Food Programme, and the International Institute of Sustainable Development (IISD) – International Union for Conservation of Nature and Natural Resources (IUCN) - SEI-B -Interco-operation Task Force on Climate Change and Livelihoods (a cross-disciplinary research and awareness-building collaboration). The Project Management Unit will also engage expert and practitioner organizations within each region. For example, in the pilot region of Southeast Asia, consortium participants might include the Malaysia Centre for Strategic and International Studies, the Thailand Environment Institute, and the Munasinghe Institute for Development, the members of the Sustainable Mekong Research Network (Sumernet), as well as a number of smaller-scale groups.

Activity 3 will run from early 2005, when the ALM core team will be established, through to the end of the project in 2007. Activities will peak in early 2006, when the broader consortium is launched.

→ **Activity 4:** Launch and sustain a knowledge base and learning process.

- *Activity 4.1: Design and develop the ALM knowledge base and learning process.* The knowledge base will aim to draw on, and improve, existing models of knowledge management within GEF Implementing Agencies. Developed through a collaboration of the ALM core team and Technical Committee members, the knowledge base will be a resource for knowledge storage and extraction. The knowledge base will require a learning platform through which participants can access and share adaptation experience, information and lessons. Developers will take care to ensure not only compatibility with, but integration of, the knowledge base and existing resources, including the Adaptation Policy Framework for Climate Change. With the global consortium and knowledge base in place, the ALM will be able to conduct outreach and capacity building activities, adapted to suit the needs of different user groups (e.g. direct training or general information sharing). To this end, the core team would convene workshops for fundraising collectively by the global and regional consortia (or their constituent institutions and networks). The fundraising initiatives would ensure both the deepening of

the partnership and the realization of the full ALM potential, as well as the sustenance of the process. Where possible, the ALM will integrate with, and support, existing capacity development activities, such as GEF enabling activities. Through direct outreach activities and the facilitation by consortium members, a learning process for key participants (e.g., country-level development planners) will be sustained whereby users can access and input information.

- *Output 4.1: A functional knowledge base and learning process for support of ALM activities.* The knowledge base could include, but will not be limited to, the following components and functions:
  - archiving of demonstration projects, by keyword and focal area;
  - archiving of good practices during project design (based upon the World Bank knowledge management system) and during implementation, as a criteria for project approval (drawing upon the experiences from IW:LEARN and the Implementing Agencies);
  - case studies that identify factors that consistently enable and/or inhibit adaptation, and provide local indicators;
  - direct links with major networks and their information offerings (for example, VulnerabilityNet.org or a new UNEP Collaborating Centre on adaptation).
  - training workshops in the tools and databases, as well as fundraising, and collaborative activities.

This information will be made accessible to participants through a web-based interface, on-line dialogues, decision-making tools and printed material.

Activity 4 will begin in mid-2005 with the initial design of the knowledge base and peak in late 2005/early 2006 as the learning process gets actively underway.

#### SUSTAINABILITY (INCLUDING FINANCIAL SUSTAINABILITY)

The ALM created through this project will be sustained in several specific ways. Most importantly, several major adaptation processes will be running in parallel with this project – National Communications, NAPAs, community-based Adaptation (planned), as well as other smaller-scale efforts – suggesting that dozens of countries and non-governmental actors will soon require more substantive information on planning, implementing and mainstreaming adaptation. The strong emerging demand for organized adaptation information created by these efforts will help to ensure that the ALM is able to generate future participation and financial support.

Global benefits derived from the project will be sustained through the individual GEF-funded projects that are supported. As this project will contribute to an improved understanding of the necessary conditions for mainstreaming adaptation into development planning, it is expected that sustainability of all GEF adaptation projects will be increased through participation in the project.

The process, partnerships, and knowledge base developed through the ALM will be sustained through the ownership by the global and regional consortia, and especially by focusing on fund raising.

Phase II of International Waters-LEARN (IW:LEARN) includes a specific project component aimed at promoting sustainability. The two key activities of this component are:

- *Develop partnerships to sustain IW:LEARN's benefits through dialogue with GEF Implementing Agencies (IAs), Executing Agencies (EAs), and external organizations. This activity facilitates internal dialogue among the GEF Secretariat and IW:LEARN's Implementing and Executing agencies, and outreach to IW project stakeholders; and*
- *Promote GEF IW contributions to sustainable development and participation of GEF IW projects in broader sectoral community. This activity aims to increase the outreach and interactions between the GEF IW portfolio and the broader water resources, coastal and marine management and scientific community.*

These two activities have direct parallels in the activities for this project, as outlined above. Specifically, activities in support of Activity 3 represent an equivalent approach to sustainability as that proposed in IW:LEARN.

Experience with similar initiatives has shown that, once established, if there is a strong and consistent demand, knowledge networks of the type proposed in this project will be self-sustaining. The ALM core team will seek to identify one or more influential “champions” who will promote use, and thereby sustainability of the ALM. This, too, is based on experiences from similar initiatives in other fields. Similarly, approaches to ensure sustainability of the knowledge base and website (for example, through incorporation into institutional web sites) will be secured. Collaboration with the UNFCCC Secretariat (on National Communications, National Adaptation Programmes of Action, and methods guidance), will also help contribute to sustainability of the ALM learning platform.

In order to support the activities of the champions of concept and practice, the ALM core team would convene partner workshops on fundraising.

The project will directly contribute to the improvement of GEF adaptation projects' respective process indicators for environmental sustainability. Increased efficiency in GEF adaptation project implementation, combined with greater integration with core Implementing Agency programs and resources, is expected to expedite and increase achievement of positive environmental impacts and concomitant change in environmental status. In this regard, the ALM will be designed to complement existing and emerging efforts of the Implementing Agencies.

As with other learning processes, the ALM will invite investment of ideas and shared intellectual ownership from its range of users, helping to ensure that active dialogue, rigorous learning, and continuous exchange of intellectual resources is maintained (the “idea virus”, as it is known in the business world). While the project will launch and foster the global consortium and regional sub-networks on a pilot basis, it will not be the sole financial supporter. Instead, the consortium will be developed through the linking of existing networks, the targeted invitation of individual groups, and the self-directed involvement of still other networks and groups. As such, the GEF-funded component of the ALM will be responsible for only a certain level of consortium support. Over the course of the project, the groundwork will be laid so that the ALM can grow to its full appropriate scale. For the reasons outlined here, the proposed ALM is seen as a highly sustainable pilot effort, which will grow in parallel with the burgeoning demand for adaptation information, even as GEF support is withdrawn. In light of this new demand, and growing participation in the adaptation process, the network and knowledge base should continue to thrive and grow as the pilot phase closes. Indeed, in the coming years (e.g., three to four) the ALM should launch from the current pilot design, to a full, large-scale project.

### 3. REPLICABILITY

Establishing a learning mechanism at the beginning of the project development and approval phase of the GEF adaptation pilot will enable both Implementing Agencies and the GEF Secretariat to share

experiences and lessons learnt. The project will foster the build-up of a knowledge base during the maturation of GEF adaptation projects, providing valuable information in a documented and structured manner on good practices derived from existing projects.

Replicability will take two forms. Firstly, following the project start-up in Southeast Asia and the Pacific Islands, the ALM will be expanded to other regions. In these new regions, the ALM will work with partners that are capable of engaging other participants and of facilitating regional adaptation learning. Lessons from the pilot phase will be replicated in these additional regions.

Secondly, project developers and implementers participating in the ALM will facilitate the replication of lessons and good practices derived from existing projects and made available through this project. The involvement of the Implementing Agencies will also assist in replication into other focal areas of the GEF (including biodiversity conservation projects and those implemented under OP 12).

Support for an operational “GEF Learning Exchange and Resource Network” staff lead within each Implementing Agency, as proposed in IW:LEARN II, may be explored as a means to expand provision of these services and benefits across focal areas. This could open opportunities to more fully leverage the comparative advantages of Implementing Agencies and Executing Agencies across focal areas.

IW:LEARN demonstrated that its products and services are valuable commodities among partner organizations interested in adopting them in whole or in part. Given that this proposal incorporates lessons learned through IW-LEARN, it is expected that its products will be adopted in a similar way.

#### 4. STAKEHOLDER INVOLVEMENT

As discussed earlier, the ALM will engage stakeholders at each of the three stages in adaptation planning and implementation. While the initial focus will be national development planners, the project is ultimately intended to engage more local actors (e.g., in collaboration with the Small Grants Programme) in order to extract ground-level adaptation experience. The ALM consortium is intended to provide the mechanism through which the range of relevant stakeholders can engage directly with the project.

The GEF and its Implementing Agencies will all contribute to the knowledge base, as well as be active in the development and review of project outputs. In addition, project co-ordinators of GEF adaptation projects that are under implementation, or will be implemented during the project duration (2005-7), will be invited to contribute to the knowledge base with case studies, experiences, and good practices. Key members of the research community that are active in this area will be invited to participate through their respective networks.

#### 5. MONITORING AND EVALUATION

Within three months of the project start-up, a **Project Inception Workshop** will be conducted with the Project Management Unit, relevant regional government and non-governmental counterparts, co-financing partners, the UNDP regional Country Offices and UNDP-GEF. Fundamental objectives of this Inception Workshop will be to ensure that the Project Management Unit understands the project’s goals and objectives, and to finalize preparation of the project’s first Annual Work Plan (AWP) on the basis of the project’s logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions, etc.), imparting additional detail as needed, and, on the basis of this exercise, finalizing the AWP with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

SEIA will be responsible for regular and detailed reporting. Standardized systems for management, planning and financial control established at SEI will be used, including the establishment of well-developed and comprehensive terms of reference and clear guidelines for progress reporting by team leaders and consortium partners. SEIA will produce periodic progress reports and a final report at the end of the programme period. All reports and papers will undergo standardized internal and external peer review processes. As is customary for large projects, SEIA will also convene an internal scientific advisory and peer review group.

Additionally, the Inception Workshop will provide an opportunity for all parties to better understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines. The Terms of Reference for the Project Management Unit and decision-making structures will be discussed, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase, particularly in relation to monitoring and evaluation responsibilities. An early evaluation meeting of project structures such as the Project Management Unit, Advisory Group and the Technical Committee will be held at the end of month six of the project to review achievement of the start-up activities and to adjust the project strategy and schedule as may be required.

Monitoring and evaluating (M&E) of implementation progress will be based on the indicators provided in the Logical Framework Matrix in Table 2. The assessment will include both whether delivery of goods and services is performed in a timely, adequate, and cost-effective manner, and whether the project is achieving the envisaged outcomes within the expected timeframes. To assess the impact of the project, baseline data related to the main indicators that is not already available will be collected during the first six months of project implementation and systematically measured thereafter.

In accordance with GEF requirements, **Quarterly Operational Reports** will be provided during the course of the project to both the UNDP-GEF Regional Coordinating Unit (RCU) and UNDP-GEF New York. The Project Management Unit will also be responsible for the preparation and submission of the **Progress Reports** as and when required that would be submitted to the Regional Coordinating Unit. A **Project Implementation Report** will be produced every six months by the Project Management Unit, and presented in draft to the Advisory Group for review at their periodic meetings. Once yearly this will be prepared in **Annual Project Report (APR)/Project Implementation Review (PIR)** prescribed format to inform the yearly Tripartite Project Review (TPR) meetings and to report to GEF on project progress. The TPR meetings will include the participation of the Project Management Unit, the Executing Agency, and UNDP. The final APR/PIR will serve as the **Project Terminal Report** for consideration at the terminal TPR meeting. The draft report will be distributed sufficiently in advance to allow in-house review and technical clearance by the GEF prior to the terminal TPR review. In addition, UNDP will oversee annual administrative and financial audits to be conducted by external evaluators.

In accordance with UNDP/GEF M&E procedures, a **Mid-term Evaluation** will be undertaken after two years to review progress and effectiveness of project implementation. Findings of this review will be incorporated as recommendations to the project, and will be instrumental for bringing improvement into the overall project design for the remaining duration of the project. In addition, one year after completion of project activities, an **independent final evaluation** will be conducted to assess achievement of project objectives and impacts, and to document lessons learned. The cost of both evaluations will be covered by the project budget.

## **D – FINANCING**

### **1) FINANCING PLAN**

USD 723,600 from the GEF Secretariat to cover the cost of this project (see Table 1 in Annex). This includes \$620,000 of direct costs of activities, \$50,000 for monitoring and evaluation, and \$53,600 (8% UNOPS AOS). Together with equivalent co-financing of direct activities of \$645,000, **including \$250,000 (in-kind) and \$370,000 (cash)**, the total cost of the project comes to \$1,368,600. These funds will:

1. Cover the cost of experts to:

- Apply screening tools to sample project portfolio(s) to extract adaptation lessons (Activity 1.1);.
- Conduct a desk-top review of adaptation planning, implementation and mainstreaming projects, and prepare a summary paper on lessons learned and good practice in these projects (Activity 1.1).
- Capture preliminary adaptation lessons in a dataset for input to the knowledge base (Activity 1.1).
- Conduct a desk-top review of, and stakeholder consultation on, key gaps in adaptation knowledge, and prepare summary paper about these gaps (Activity 2.1).
- Prepare highly-targeted set of adaptation learning resources responding to key adaptation knowledge gaps (e.g., issues regarding adaptation baselines, mainstreaming and incremental costs, and development of an adaptation project prioritisation matrix, etc.) (Activity 2.1).
- Review Implementing Agency experience and prepare guidance note for implementing GEF's adaptation pilot that synthesizes options and priorities (Activity 2.1).
- Convene working groups to respond to additional key knowledge gaps with a series of up to 6 reports (Activity 2.1).
- Prepare capacity building and outreach materials (Activity 2.1).
- Identify and engage ALM core consortium participants and support consortium communication and exchange (Activity 3.1).
- Conduct outreach and information sharing through participation in key meetings (Activity 3.1).
- Design knowledge base, based on improved GEF Implementing Agency models (Activity 4.1).
- Convene workshops for fundraising (Activity 3.1).

2. Cover the cost of up to three workshops of GEF Secretariat and Implementing Agencies, with invited adaptation experts, to:

- review implementation experience of Implementing Agencies;
- discuss lessons learnt in implementing GEF's Adaptation Pilot;
- discuss GEF long-term strategy on adaptation.

3. Cover the cost of up to three expert workshops to discuss the development of learning resources, knowledge base and summary reports.

4. Cover the cost of up to three regional workshops to engage adaptation planners and implementers (e.g., national development planners) in the ALM and to build mainstreaming capacity. These meetings would be coordinated, to the extent possible, with workshops under item (2).

5. Cover the cost of up to three workshops (one in each region) to review results, develop long-term vision for the end products, and initiate fundraising in the light of these.

6. Cover the cost of ALM participants to participate in outreach activities, where economies cannot already be made (e.g., it is anticipated that many participants will already be attending UNFCCC Subsidiary Body meetings and Conferences of the Parties, and/or GEF Council events).

## 2) Cost Effectiveness

This project promotes cost-effectiveness by centralizing the GEF family's good practices and experiences, as well as assessing the entire GEF portfolio as a whole.

### 3) Co-financing

Co-ordination within the GEF family is not costed, since this is already covered in the GEF corporate budget. The contributions of Implementing Agency staff to the knowledge management system will be as an in-kind contribution.

	CO-FINANCING SOURCES			
Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status
Government of Switzerland	Government	Cash	25,000	Confirmed
SEI - Boston	NGO	In-kind	30,000	Confirmed
SEI-Asia	NGO	In-kind	200,000	Letter of commitment to be received
		Cash	340,000	To be identified
UNDP-GEF/UNDP	Multilateral	Cash	30, 000	Confirmed
		In-kind	20,000	
Sub-Total Co-financing			645,000	

## E - INSTITUTIONAL COORDINATION AND SUPPORT

### 1) CORE COMMITMENTS AND LINKAGES

The final output of this project will be the synthesis of lessons learnt through implementation of the GEF adaptation pilot and the development of options for a longer-term GEF strategy. The synthesis will address replication potential, scaling up, demonstrating impacts, sustainability, and other good practices. The options will address strategic priorities, programming modalities, conceptual frameworks, project design, public awareness, and partnerships. This strategy will help policy makers to understand the relevance of adaptation in the context of the GEF, and to inform subsequent policy decisions for possible adaptation programming. As a pilot project, the ALM will need to build on the momentum of parallel efforts, including those that are on-going (e.g., the IISD/IUCN/SEI Task Force on Climate Change and Vulnerable Communities), emerging (e.g., the new IDS/RING Network on Linking Climate Adaptation), and proposed (e.g., any future Small Grants Programme activity under the GEF SPA).

### 2) CONSULTATION, COORDINATION AND COLLABORATION BETWEEN AND AMONG IMPLEMENTING AGENCIES, EXECUTING AGENCIES, AND THE GEF SECRETARIAT, IF APPROPRIATE.

This project is seen as a direct collaboration between all members of the GEF family, and an opportunity for engagement across scales. Up to three interagency meetings will be held to discuss and review critical outputs of the project. In addition, all Implementing Agencies will contribute to the knowledge base.

The project activities will be managed through the Project Management Unit based at SEI-Asia, and based on key experience (such as that captured in the recent IW:LEARN evaluation) will be coordinated through a multi-part system involving:



- an **ALM Secretariat**, consisting of the project manager, SEI-Asia coordinating and support staff. The Secretariat will serve as the project's communication hub, and will be responsible for day-to-day management of the project. The ALM Secretariat will coordinate closely with UNOPS, the budget and contract manager for the project.
- an **Implementing Core Team**, consisting of the project Secretariat, GEF Secretariat and UNDP representation, core organizations (SEI Centres), as well as several members of collaborating expert groups and non-governmental organizations. This small group will coordinate and oversee all project activities;
- an **Advisory Group** of up to 8 members, consisting of representation by the GEF Secretariat and all Implementing Agencies, the UNFCCC Secretariat, national governments, and representatives from other relevant user groups (e.g., the RING). The GEF, UNDP and SEI will serve as chairs of the advisory group. The critical role of the Advisory Group will be to ensure that project activities are guided by user needs. The Advisory Group will provide high-level guidance to the project and will be particularly instrumental in providing advice on activities directly related to the GEF. Its responsibilities include (a) ensuring adherence to the overall vision of the project, (b) maintaining a clear and consistent link to GEF priorities, (c) providing access to decision makers in the GEF family, both national policy makers and GEF decision makers, (d) reviewing and assessing progress, and (e) reviewing and assessing responsiveness to user needs.
- a **Technical Committee**, consisting of representation by a number of expert organizations engaged in adaptation-related activities (e.g., members of the RING, AIACC project participants). This committee will provide expert guidance on the execution of project activities and will participate in working group exercises. In addition, members of this committee will participate in the broader ALM consortium, will help to facilitate knowledge sharing, and will help to ensure that project activities respond as directly as possible to prospective user needs. UNDP and SEI will serve as committee chairs. The responsibilities of the technical committee include (a) providing input on database design, (b) establishing screening

#### The Stockholm Environment Institute

SEI is an independent, international research institute specializing in sustainable development issues at local, national, regional and global policy levels (details at [www.sei.se](http://www.sei.se)). *SEI's mission is to support decision-making and induce change towards sustainable development around the world by providing integrative knowledge that bridges science and policy in the field of environment and development and contributing to the capacities of different societies.* The Institute was established in 1989 following an initiative by the Swedish Government to develop an international environment/development research organisation. SEI's work includes new assessment practices, tools, and departures from existing policies and approaches. It is a distributed institute, with centres in Sweden, the United Kingdom, Estonia the United States, and Thailand. It encompasses some 75 researchers across its centres, spanning ecological, social science, and policy research. It has a strongly interdisciplinary approach and aims at tackling complex social-ecological problems where it can make a difference.

The SEI approach is typically highly collaborative and participatory, involving partners in the regions and places of research so that local knowledge and values are mobilized and explicitly considered. Projects are designed to incorporate the building of regional capacities and the strengthening of institutions so that the long-term capabilities of SEI's collaborators are enhanced as part of the process. In its role as a founding member of the Regional and International Networking Group (RING), and an active participant in other networks, SEI demonstrates its capacity not only to collaborate effectively through the network model, but to draw on the energies of its partners as needed. For example, SEI has consistently engaged its partners within the RING network to fill capacity gaps in projects which SEI itself could not. This approach, SEI understands, builds mutual capacity, stronger network ties, and the basis for greater collaboration.

The Asia Centre is the fifth of SEI's research centres. It was established in 2003, in response to the awareness both of the salience of sustainability challenges in Asia, and the strength of research partnerships that had developed through years of dedicated work. These partnerships have now been formalized through the establishment of the Sustainable Mekong Research Network (Sumernet), a consortium of 15 research and policy institutions based in the Southeast Asian region.

criteria for “best practice”, case studies, etc., (c) advising region-by-region evolution of the project, (d) identifying best practices in adaptation, in accordance with accepted criteria, (e) ground-truthing selected case studies and best practices, (f) ensuring the user-friendliness of the tools and mechanisms produced by ALM, and (g) contributing to the analytical frameworks developed to organize the material,

- while not an component of project management or oversight, **Working Groups** will be nonetheless be a key part of ALM implementation. Comprised of a handful of members of the Technical Committee and additional experts, small working groups (between 3 and 5 groups total, each with 3 or 4 members) will be assembled to respond to key knowledge gaps. Whether through contracted work or through the extension of existing activity, working groups will operate as the project’s primary research mechanism.

A project inception workshop involving key initial participants from each of the above groups will review successful experiences of similar learning mechanisms and lay the groundwork for project coordination and operations.

The text in the above box provides an overview of SEI. The Institute also has an extensive experience in partnership development. For instance, SEI cannot maintain a strong ground-level presence for the duration of a project. To fill in the gap, the Institute can mobilize partners, particularly local actors, to create the conditions under which project goals can be achieved.

The SEI-Asia Centre consists of a Director and five Research Fellows. The Center works closely with the Sustainable Mekong Research Network (Sumernet), which enables information sharing among over 100 researchers in the area of sustainable development. SEI also collaborates with researchers from different centers on a regular basis.

The SEI component of the core team includes Mr Dipak Gyawali (SEI Asia), Mr Li Bo (SEI Asia), Dr Fiona Miller (SEI Stockholm), Ms Erika Siegfried-Spanger (SEI Boston), Dr Matthew Chadwick (SEI Asia), Dr Tom Downing (SEI Oxford), and Dr Tariq Banuri (SEI Asia). The core team would be headed by Dipak Gyawali, Senior Fellow at the SEI-Asia Centre. Mr Gyawali, a Nepali national, is a *Pragya* (Academician) at the Royal Nepal Academy of Sciences (See Annex A for the professional experience of the SEI members).

## **PART II – SUPPLEMENTAL ANNEXES (TO BE INCLUDED FOR TARGETED RESEARCH PROPOSALS ONLY)**

### **ANNEX A – PROFESSIONAL BACKGROUND OF THE SEI MEMBERS**

Dipak Gyawali is a hydroelectric power engineer (Moskovsky Energetichesky Institute, USSR) as well as a political economist studying resource use (University of California, Berkeley). Since 1987, he has pursued an independent interdisciplinary research agenda on society-technology-resource base interface, with water and energy as entry points. From November 2002 to May 2003, he served as His Majesty's Minister of Water Resources (responsible for power, irrigation and flood control), and initiated reforms in the electricity and irrigation sectors focused on decentralization and promotion of rural say in governance.

The program manager for the Southeast Asian pilot activities is Mr. Li Bo, Sumner Fellow at SEI-Asia. Li Bo has an MSc in Natural Resources and Agriculture from Cornell University. His work focuses on livelihood and adaptation strategies of local communities in China.

Liaison with UNDP and GEF secretariat will be overseen by Ms Erika Siegfried-Spanger, Associate Scientist with the SEI Boston Centre. Ms Siegfried Spanger's work focuses on building understanding and capacity around climate change adaptation at the policy, strategy and project levels.

Tariq Banuri, Director of the Asia Center, is an expert on sustainable development policy. He has broad experience in Pakistan in policy development through a combination of research and analysis, and organizing and leading multi-stakeholder participation.

## **PART III – RESPONSE TO REVIEWS**

A - CONVENTION SECRETARIAT

B - OTHER IAS AND RELEVANT EXAS

C - STAP

**Table 1: Proposed budget for the Adaptation Learning Mechanism (USD)**

			In-kind	Cash
	TOTAL	GEF	contribution	contribution
<b>Output 1.1 Good practice input for an ALM knowledge base</b>				
Desk-top review of sample portfolio(s) including Implementing Agency experience	25,000	10,000	5,000	10,000
Summary paper on lessons and best practice	25,000	10,000	5,000	10,000
Organization of preliminary adaptation lessons in knowledge base	15,000	5,000	5,000	10,000
Desk-top review, consultation on, and summary paper of key knowledge gaps	25,000	10,000	5,000	10,000
Up to six papers responding to key knowledge gaps	55,000	30,000	15,000	10,000
IA/expert meetings in DC or NYC (1 inception meeting, 3 advisory meetings)	105,000	65,000	20,000	20,000
Travel	30,000	30,000	0	0
<b>Output total</b>	<b>280,000</b>	<b>160,000</b>	<b>55,000</b>	<b>75,000</b>
<b>Output 2.1 Set of adaptation learning resources</b>				
Preparation of project prioritisation matrix	15,000	0	5,000	10,000
Preparation of 3 case studies on baselines, incremental costs and mainstreaming	50,000	30,000	5,000	20,000
Training materials developed	50,000	30,000	5,000	20,000
Preparation of long-term GEF adaptation strategy	15,000	5,000	0	10,000
Publication/translation	80,000	60,000	0	20,000
<b>Output total</b>	<b>210,000</b>	<b>125,000</b>	<b>15,000</b>	<b>90,000</b>
<b>Outcome 2: A knowledge base and active learning process for the ALM designed, established, and operationalized.</b>				
<b>Output 3.1 A functional, active network of stakeholders for ALM support and facilitation</b>				
Engagement of ALM core team	25,000	10,000	5,000	10,000
Outreach and information sharing	25,000	10,000	5,000	15,000
Advocacy materials developed	20,000	10,000	0	10,000
Fundraising and Proposal Development	300,000	100,000	100,000	100,000
Fundraising Workshops Organized	45,000	15,000	15,000	15,000
Engagement of key regional participants (e.g., national development planners)	15,000	15,000	0	0
<b>Output total</b>	<b>430,000</b>	<b>160,000</b>	<b>125,000</b>	<b>150,000</b>

<b>Output 4.1 A functional knowledge base and learning process for support of ALM activities</b>				
Knowledge base designed	35,000	20,000	5,000	10,000
Knowledge base populated	100,000	60,000	5,000	35,000
ALM core team and consortium member meetings (3)	70,000	40,000	15,000	15,000
Meetings with Ring, Sumernet and other Partners	50,000	10,000	30,000	10,000
Consortium meeting/training workshops (3)	65,000	45,000	0	20,000
<b>Output total</b>	<b>320,000</b>	<b>175,000</b>	<b>55,000</b>	<b>90,000</b>
<b>Monitoring and evaluation</b>				
6-month evaluation	5,000	5,000	0	0
Mid-term evaluation	10,000	10,000	0	0
End-term evaluation	15,000	15,000	0	0
Follow-up evaluation (1 year after project closes)	10,000	10,000	0	0
Progress reports (and measurement of progress)	2,000	2,000	0	0
Audits	3,000	3,000	0	0
Dissemination of results	5,000	5,000	0	0
<b>Monitoring and evaluation total</b>	<b>50,000</b>	<b>50,000</b>	<b>0</b>	<b>0</b>
<b>Project Total</b>	<b>1,315,000</b>	<b>670,000</b>	<b>250,000</b>	<b>395,000</b>
UNOPS AOS (8%)	53,600	53,600	0	0
<b>Grand Total</b>	<b>1,368,600</b>	<b>723,600</b>	<b>250,000</b>	<b>395,000</b>

**Table 2: Logframe matrix for the Adaptation Learning Mechanism**

<b>Project Strategy</b>	<b>Indicators</b>	<b>Sources of Verification</b>	<b>Assumptions</b>
<b>GOAL:</b> <i>The project will contribute to the mainstreaming of adaptation to climate change within development planning of non-Annex 1 countries.</i>	<ul style="list-style-type: none"> <li>Adaptation to climate change discussed in key national report/strategies/action plans such as PRSPs, and national MDG report</li> </ul>	<ul style="list-style-type: none"> <li>PRSPs, national MDG report, and other key national reports/strategies/action plans</li> </ul>	
<b>Objective:</b> The project will provide tools and establish a learning platform for mainstreaming adaptation to climate change within the development planning of GEF-eligible countries.			
<b>Outcome 1:</b> The state of knowledge on planning, implementing and mainstreaming adaptation captured, and key knowledge gaps identified, and responses to these knowledge gaps developed.	<ul style="list-style-type: none"> <li>More than 50% of GEF projects programmed under SPA relying on ALM adaptation learning resources in year 2</li> <li>More than 50% of National Communications projects relying on ALM for adaptation strategy development and implementation in year 2</li> </ul>	<ul style="list-style-type: none"> <li>GEF SPA project documents</li> <li>NC project proposals and/or work plans</li> </ul>	Information on the ALM will be widely disseminated and adopted by project teams
<b>Output 1.1</b> 'Good practice' input for ALM knowledge base	<ul style="list-style-type: none"> <li>At least 2 project portfolio reviews conducted by mid-2005</li> <li>1 summary paper on lessons learnt and good practice by end 2005</li> <li>Dataset of relevant information by end 2005</li> </ul>	<ul style="list-style-type: none"> <li>2 portfolio reviews</li> <li>1 summary paper</li> <li>Data set</li> </ul>	Sufficient good practice and lessons learnt material can be identified through desk reviews
<b>Output 2.1:</b> Set of adaptation learning resources	<ul style="list-style-type: none"> <li>20 GEF-eligible country planners consulted for input on priority adaptation knowledge gaps, and summary paper produced</li> <li>Project prioritization matrix web-available and widely disseminated by mid-2005</li> <li>Set of up to 6 papers on priority gaps web-available and widely disseminated by end 2005</li> </ul>	<ul style="list-style-type: none"> <li>Summary paper based on country planner input</li> <li>Web-available project prioritization matrix</li> <li>Web-available paper series</li> <li>Log of dissemination activities</li> <li>Web-available case studies</li> <li>Long-term strategy</li> <li>Web available training/</li> </ul>	Key adaptation knowledge gaps can be identified Case study topics represent key identified knowledge gaps

Project Strategy	Indicators	Sources of Verification	Assumptions
	<ul style="list-style-type: none"> <li>• 3 case studies web-available and widely disseminated (by end 2005) on: <ul style="list-style-type: none"> <li>• Options for mainstreaming adaptation</li> <li>• Adaptation baselines</li> <li>• Incrementality</li> </ul> </li> <li>• Long-term adaptation strategy for GEF developed and submitted to GEF Council</li> <li>• Capacity building / training material prepared and web-available in Year 2</li> </ul>	capacity-building material	
<b>Outcome 2:</b> A knowledge base and active learning process for the Adaptation Learning Mechanism designed, established, and operationalized.	<ul style="list-style-type: none"> <li>• More than 50% of GEF-eligible countries participating in ALM in Year 3</li> <li>• More than 50% of projects programmed under GEF SPA participating in ALM in Year 3</li> </ul>	<ul style="list-style-type: none"> <li>• ALM meeting and web participation documentation</li> <li>• GEF SPA project documents</li> <li>• Documentation of ALM knowledge base usage</li> </ul>	Information on the ALM will be widely disseminated and adopted by project teams
<b>Output 3.1:</b> A functional, active network (consortium) of stakeholders for ALM support and facilitation.	<ul style="list-style-type: none"> <li>• 4-5 participants from each key stakeholder group engaged in regional network in Year 1</li> <li>• 4-5 participants from each key stakeholder group, in each region, engaged in global consortium in Year 3</li> <li>• Outreach and advocacy material prepared and disseminated in Year 1</li> <li>• Fundraising proposals developed and workshops organized</li> </ul>	<ul style="list-style-type: none"> <li>• ALM meeting and web participation documentation</li> <li>• Web-accessibility of training material</li> <li>• Proposals developed and workshop records</li> </ul>	<p>Sufficient knowledge needs among key stakeholders to ensure active participation in consortium</p> <p>Sufficient interest by partners and funding organizations</p>
<b>Output 4.1:</b> A functional knowledge base and learning process for support of ALM activities	<ul style="list-style-type: none"> <li>• Knowledge base functional and web-based in Year 2</li> <li>• Sustained interaction with key networks (Ring, Sumernet)</li> <li>• Capacity building activities implemented in SE Asia in Years 1-2</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge base web-accessibility and search-ability</li> <li>• Capacity building workshop evaluations</li> <li>• Network records</li> </ul>	Significant demand exists for capacity building on adaptation implementation

Project Strategy	Indicators	Sources of Verification	Assumptions
	<ul style="list-style-type: none"> <li>Capacity building activities implemented in each region, Year</li> </ul>		