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

<b>Project title:</b> Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador	
<b>Country:</b> Ecuador	
<b>Implementing Partner:</b> UNDP CO – Ecuador	<b>Management Arrangements :</b> Direct Implementation Modality (DIM)
<b>UNDAF/Country Programme Outcome:</b> By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)	
<b>UNDP Strategic Plan Output:</b> <i>Output 2.1.1:</i> Low emission and climate resilient objectives addressed in national, sub-national and sectoral development plans and policies to promote economic diversification and green growth.	
<b>UNDP Social and Environmental Screening Category:</b> <i>Low</i>	<b>UNDP Gender Marker for the project output:</b> <u>GEN2</u>
<b>Atlas Project ID (formerly Award ID):</b> 00101840	<b>Atlas Output ID (formerly Project ID):</b> 00104102
<b>UNDP-GEF PIMS ID number:</b> 6075	<b>GCF ID number:</b> ECU-RS-002
<b>Planned start date:</b> <i>March 2019</i>	<b>Planned end date:</b> <i>April 2022</i>
<b>PAC meeting date:</b> <i>February 15<sup>th</sup> 2019</i>	
<b>Brief project description:</b> The Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador project has two major objectives:	
(a) To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience in the prioritized sectors or thematic areas established by the NSCC.	
(b) To facilitate the coherent integration of climate change adaptation into development planning processes, policies and strategies related to six prioritized sectors i) Natural Heritage; ii) Water Heritage; iii) Food Sovereignty, Agriculture, Livestock, Aquaculture and Fisheries; iv) Health; v) Productive and Strategic Sectors; and, vi) Human Settlements, as well as into new and existing related programmes and projects.	
This initiative, herein referred to as "NAP project" is in line with the Constitution of Ecuador which outlines	

that the State would adopt measures to respond to climate change and protect the populations at risk, and is also aligned with the National Development Plan of Ecuador (2017 – 2021) which states the imperative need to mainstream climate change adaptation policies.

This project builds upon the goals and priorities under the Constitution of Ecuador, the National Development Plan 2017 - 2021 and the National Strategy of Climate Change, and the identification of gaps and needs by stakeholders during the NAP proposal preparation phase and follows the general guidance and framework of the Least Developed Countries Expert Group (LEG) Technical Guidelines on NAP. It aims to support the develop of necessary studies, methodologies, indicators, policies, capacity building programmes, and other enabling instruments to mainstream climate change adaptation into development planning at sectorial, territorial and local levels with a cross-cutting focus on the climate risks faced by priority groups, through:

- (i) Improving the coverage and the spatial and temporal resolution of climate projections, risks and vulnerability analyses;
- (ii) Strengthening institutional capacities through the development of guidance documents (standards, technical guidelines, etc.), regulations (at central and local levels), standardized methods and tools to facilitate the management of climate risks;
- (iii) Providing training to key staff, partners and stakeholders (public and private) to facilitate the integration of CCA into development planning and budgeting processes at sectorial, territorial and local level;
- iv) Designing measurement, reporting and verification (MRV) mechanisms for the NAP process and for the adaptation actions implemented by stakeholders;
- v) Formulating strategies to ensure that financing, sustainability, scaling up and replication of CCA actions meet the needs and gaps and address the vulnerabilities and climate risks identified during the NAP process.

The financial support obtained from the GCF is essential to generate conditions to facilitate climate change adaptation integration into development planning and to overcome the main gaps identified.

The development of the NAP Project will be executed in stages. Their respective outcomes, outputs, activities, and deliverables are linked and are part of a continuum. The project is implemented by UNDP as Delivery Partner and led by the Ministry of Environment (MAE for its acronym in Spanish) under its capacity of National Designated Authority (NDA) to the Green Climate Fund. Technical and political support will be provided by the National Planning Secretary (SENPLADES, for its acronym in Spanish) and relevant line ministries.

FINANCING PLAN	
GCF grant	USD 2,727,273
<b>Total Budget administered by UNDP</b>	<b>USD 2,727,273</b>
SIGNATURES	
Signature: Aldo Garcia Resident Representative a.i. UNDP Ecuador	Agreed by UNDP as the Delivery Partner
Date/Month/Year:	

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## II. DEVELOPMENT CHALLENGE

The prevailing social, economic and environmental circumstances in Ecuador pose a serious challenge for the country's progress, especially since its development path is highly vulnerable to the current and expected impacts of climate change, and this is exacerbated by the limited existing conditions for the effective integration of climate change adaptation (CCA) into the formulation and implementation of "multilevel" policies, strategies and development plans (national, sub-national or local).

In the national context, addressing this challenge is relevant to development priorities since several of the national axes and objectives, established in the National Development Plan 2017 – 2021 (PND for its acronym in Spanish), are susceptible to being adversely influenced by the potential effects of climate change.

At the international level, addressing this challenge is pertinent because, on the one hand, it contributes in a direct way in the global efforts to maintain the environment in adequate condition to enable sustainable development through the maintenance of environmental functions and services provided by ecosystems and, on the other hand, it contributes to the increase in the country's resilience and ability to adapt, in accordance with the provisions of the Paris Agreement, through the inclusion of adaptation commitments in the Nationally Determined Contribution of Ecuador (NDC), currently in formulation process.

In addition, the efforts of the PND to reduce the vulnerability of the country's development path have been linked to the purposes of Agenda 2030 and thus to the UN Sustainable Development Goals (SDGs) as set out in the First Voluntary National Review published in June 2018 by SENPLADES and presented at the United Nations High-level Political Forum on Sustainable Development in September 2018.

This review presents the linkage between Ecuador's Development Objectives contained in the PND and the UN Sustainable Development Goals, including Goal 13: Climate Action. Some of the most relevant objectives which require consideration of climate risks and adaptation measures in order to be met, are:

Objective 3: Guarantee the rights of nature for current and future generations.

Objective 5: Boost productivity and competitiveness for sustainable economic growth, with redistribution and solidarity.

Objective 6: Develop productive and environmental capacities in order to achieve food sovereignty and an integrated, sustainable rural development.

Understanding the magnitude of the challenge implies keeping in mind the connotations that climate changes have on those key sectors for sustainable development in Ecuador. The vulnerability of these sectors can be exacerbated if the adaptive capacity is limited.

To illustrate, the general increase in average of the maximum, medium and minimum temperatures (daily, monthly and yearly) throughout the national territory, as well as alterations in the spatial and temporal regimes of rainfall, and the increase in frequency, intensity and/or coverage of extreme meteorological events made evident by analyzing the data collected by the National Institute of Meteorology and Hydrology (INAMHI for its acronym in Spanish), and enunciated in the Third National Communication on Climate Change (MAE, 2017), represent some of the climate threats with the potential to negatively impact the following sectors classified as priority areas, from the perspective of adaptation, by the National Climate Change Strategy of Ecuador 2012 – 2025 (NCCS) (MAE, 2012): i) Natural Heritage; ii) Water Heritage; iii) Food Sovereignty, Agriculture, Livestock, Aquaculture and Fisheries; iv) Health; v) Productive and Strategic Sectors; and, vi) Human Settlements.

Some of the impacts that are expected to result from climate change, and which have the potential to affect the population of Ecuador, especially the most vulnerable groups<sup>1</sup>, are listed below:

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<sup>1</sup> This group consists of elder adults, children, teenagers, pregnant women, prisoners, and people with disabilities, people with catastrophic illnesses, people with lower income, human groups without provision of basic services and people affected by natural disasters. It's

Sector <sup>2</sup>	Potential Impacts
Natural Heritage	Biodiversity and ecosystem functions - services provided by ecosystems - are highly sensitive to climate change. Given that Ecuador is a mega-diverse country, several potential damages are expected. High mountain ecosystems (e.g. moorlands), coastal (e.g. mangroves), much of the Ecuadorian Amazon, as well as the island region (Galapagos Islands) are very fragile and are therefore extremely vulnerable to the expected climate changes in the short, medium and long term. The species that inhabit these ecosystems are especially vulnerable to climate hazards because climate changes produce modifications in their habitats, which force them to modify behaviors acquired through evolutionary processes of thousands or millions of years.
Water Heritage	Water systems related to human consumption are particularly susceptible to climate change, here impacts caused by both excess and shortage (seasonal) of rainfall can be anticipated. On the one hand, the lack of availability of water is a potential source of conflict and of increased competition between different uses and users, and on the other hand, excess water can cause flooding. It is anticipated that problems linked to excessive rainfall will manifest on the Coast and Andes regions (central and southern) and the Amazon (southeast region), while those associated with lack of rainfall will be accentuated in the Coast (central zone) and Andes (central and southern zones). Another evident impact, related to water resources, is the glaciers retreat, which has significant repercussions on users of Andean communities, mainly due to the associated landslide risks.
Food Sovereignty, agriculture, livestock, aquaculture and fisheries.	Drought, frost and extreme meteorological events have caused in the past, and may cause in the future, reduction and/or losses in agricultural, fisheries and aquaculture production, foreshadowing what could happen when threats are intensified. The impacts will continue to increase, especially those associated with the ENSO phenomenon, prolonged lack of rain in the central Andes and Coast, and flooding in the Coast that extends to the southern Andes.
Health	A combination of direct and indirect impacts, related with climate change (especially temperature increase and prolonged and heavy rainfall) are expected in the near future, and whose effects on public health conditions include the following: reduced access to food, formation of favorable conditions for respiratory diseases (waves of intense cold and abrupt changes in temperature during the day), the proliferation of tropical disease-transmitting mosquitoes, and changes in water quality for human consumption. The populations who live in Coast and Ecuadorian Amazon are especially vulnerable to these climate changes, as well as the areas located in the foothills of the Andes, which cross the country entirely from north to south.
Productive and strategic sectors	Within the Strategic Sector, the subsectors of infrastructure (roads throughout the national territory) and hydroelectric facilities (especially in the watersheds of Paute, Coca, and Pastaza) are highly vulnerable to increased frequency and intensity of climate hazards especially the extreme events, both in terms of deficit and surplus rainfall (e.g., carrying immense amounts of sediments to reservoirs). A similar situation it's expected for the Productive Sector - agricultural, agro-industrial and services sub-sectors.
Human settlements	It is expected that climate threats of different kinds would negatively affect human settlements, in particular the economically depressed groups. Housing with inadequate features or located in risk areas (typical aspects of informal settlements) will have increased levels of vulnerability. Large cities (Quito and Guayaquil) and many medium-sized cities have irregular settlements and risk conditions.

Source: adapted from Ecuador National Climate Change Strategy (MAE, 2012)

An aggravating factor of climate change impacts is undoubtedly the inequality that remains between men and women in Ecuador. In the context of climate change, the impacts associated with the phenomenon are suffered and faced differently and the roles in response actions are equally different. Some pertinent facts about the gender gap in Ecuador are listed below, and they will be considered as part of the gender analysis that will be carried out during the development of gap assessment impeding adaptation planning process:

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*estimated that climate changes, even those of lesser magnitude, could cause severe impacts on these groups, which are scattered throughout the national territory, although some are concentrated in rural and peri-urban areas.*

<sup>2</sup> Risk management represents a cross cutting axis of action within the NCCS. This purpose starts with the constitutional provision contained in Article 389 of the Constitution that states: "The State shall protect people, communities and nature against the negative effects of disasters of natural or human origin through risk prevention, disaster mitigation, recovery and improvement of social, economic and environmental conditions, with the aim of minimizing the vulnerability "

- Considering the important role of women in productive activities (work in agriculture and livestock), rural women are affected by the loss of productive land, since food production represents, in many cases, their only monetary income and is what sustains their family.
- In 2015, the gender inequality index was 0.391<sup>3</sup>. Between 2006 and 2014 the gap was reduced and the gender equality<sup>4</sup> index climbed 65 points, however, inequalities remain very strong.
- In 2010, 28.7% of heads of households nationwide were women<sup>5</sup>.
- In December 2014, 12.4% of women in the economically active population (EAP) were listed under unpaid employment (compared to 3.4% of men); a year earlier, the gender structure of the rural EAP was composed of 36% women<sup>6</sup>.
- Gender-based violence against women is expressed physically, sexually, psychologically, with regard to inheritances like land tenure, among others, and is produced in a framework of power relations, mainly among close people (family, couples, and friendships). In Ecuador, 60% of women have experienced some kind of gender-based violence; 40% have suffered sexual violence and 53.9% psychological violence, (INEC<sup>7</sup>, 2011).
- According to the Ministry of Justice, Human Rights and Religions (MJDHC, for its acronym in Spanish), in 2017, 1.28 femicides per 100,000 women were registered in Ecuador (MJDHC, 2017).
- In terms of employment and remuneration, the differences are equally marked. As of December 2017, the gap in labor income between women and men was 25%, while the employment rate of women was 17.1%, lower than that of men and the unemployment rate for women was 2.4% higher than that of men (ENEMDU<sup>8</sup>, 2017).

Furthermore, for an integral understanding of the limited capacities to integrate adaptation into development planning at national, sub-national and local levels, it is important to take into account the following factors or causes that give rise to or accentuate these limitations:

- Insufficient coordination between the National Government and the Decentralized Autonomous Governments (GAD for its acronym in Spanish) to implement actions to adapt to climate change and to integrate adaptation into sectoral, territorial and local planning.
- Limited capacity of the majority of actors and beneficiaries to integrate climate change adaptation into development planning. Gender inequalities rooted in structural and historical processes hinder the mentioned integration.
- Lack of information, and climate data and limited ability to conduct vulnerability and climate risk analysis.
- Lack of policies and technical standards for including climate change adaptation into sectoral and territorial planning.
- Limited information to support planning management, including aspects such as low resolution and lack of accuracy in climate projections.

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### III. STRATEGY

The Theory of Change (ToC) associated with the NAP Project is based on the main problem or challenge to face which can mention be as: "Ecuador's development path is highly vulnerable to the impacts of climate change, while the country's conditions for incorporating climate change adaptation into development planning at sectoral, territorial and local levels are restricted".

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<sup>3</sup> Human Development Report 2016. UNDP. Obtained from [http://hdr.undp.org/sites/default/files/HDR2016\\_SP\\_Overview\\_Web.pdf](http://hdr.undp.org/sites/default/files/HDR2016_SP_Overview_Web.pdf). UNDP, 2016.

<sup>4</sup> World Economic Forum. (2015). *Global Report on the Gender Gap 2015*. November, 2015.

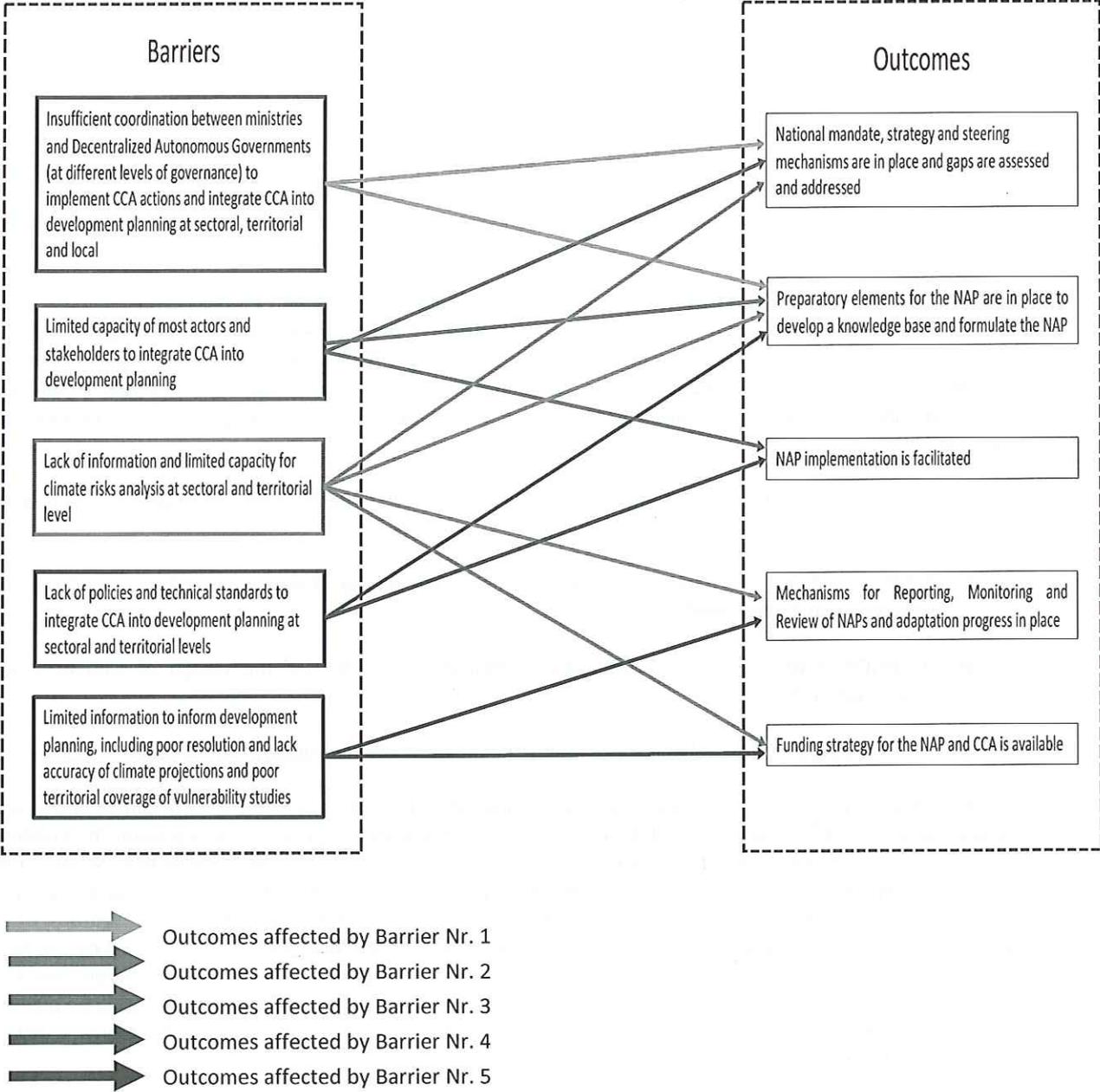
<sup>5</sup> Ferreira, C., García, K., Macías, L., Pérez, A. Tomsich, C. (2013). *Mujeres y hombres del Ecuador en cifras III*. Quito: Editorial Ecuador.

<sup>6</sup> *Estrategia para la Igualdad y Erradicación de la Pobreza*. SENPLADES, 2014.

<sup>7</sup> National Institute of Statistics and Census (INEC for its acronym in Spanish).

<sup>8</sup> <https://www.elcomercio.com/actualidad/mujer-ecuador-desigualdad-laboral-dielamujer.html> –Source: National Survey on Employment, Unemployment and Underemployment (ENEMDU for its acronym in Spanish), December 2017.

This challenge is directly related to the barriers (causes) indicated in number II of this document, which are interrelated with the sub-outcomes and outcomes that are expected to be reached during the implementation of the NAP Project, as shown in the following graphic:



A detailed theory of change diagram is included in Annex H. This diagram showing the linkages between the development challenge and the immediate, underlying and root causes.

All of outcome contributes to the achievement of the Goal expected by the NAP Project, defined as “Institutional and technical capacity of planners and decision makers strengthened to reduce climate-induced vulnerabilities of communities and assets throughout Ecuador”.

The NAP Project, implemented by UNDP, MAE and other relevant partners (e.g. sectoral & local institutions), will enable reducing vulnerabilities and climate risk of communities and assets throughout Ecuador. By targeting processes of adaptation and development planning at both central and local levels, the project aims to strengthen planners and decision makers’ capacity to assess climate risks and vulnerability and to identify best suitable adaptation actions and investments to increase the resilience.

The project aims particularly to build enabling conditions for integrating climate risk information in development planning through the following **strategies**:

- i. Improving the coverage and spatial and temporal resolution of climate projections, risk and vulnerability analyses at human and natural systems, under a gender perspective;
- ii. Strengthening institutional capacities through the development of guidance documents (standards, technical guidelines, etc.), regulations (at central and local levels), standardized methods and tools to facilitate managing climate risks, using a gender perspective;
- iii. Providing training to key staff, partners and stakeholders (public and private) to facilitate the integration of CCA into development planning, adaptation actions and budgeting processes at sectoral, territorial and local level;
- iv. Designing measurement, reporting and verification (MRV) mechanisms for the NAP process and for the adaptation actions implemented by stakeholders, incorporating a gender focus;
- v. Formulating strategies to ensure that financing, sustainability, scaling up and replication of CCA actions meet the surge in requirements during the NAP process.

The **impacts** of these strategies will be far-reaching in creating the foundation for integrating climate risks in development planning processes at sectoral, territorial and local level. It is expected that this would lead to an increased adaptive capacity and resilience and reduced vulnerability of human and natural systems, considering the differentiated impacts of climate change in both men and women. In addition, a few major current and planned national initiatives will be complemented, improved and strengthened by NAP process, as is the case of:

- i) SENPLADES's guidelines to incorporate the climate change dimension into development and land use plans;
- ii) MAE's guidelines to promote the formulation of specific climate change plans at local level (Provincial, Cantonal and Parrish level); and,
- iii) CONGOPE's project to generate useful technical documents for the design of climate change provincial strategies.
- iv) MAE's institutional model on gender mainstreaming (designed during the construction of the NDC).

The NAP process will include very extensive consultations at all levels to guarantee a participative and gender-responsive approach<sup>9</sup>, ensuring as well the participation of indigenous populations, and prevent the buildup of adverse social implications. The NAP will make use of all existing mechanisms and bodies (e.g. citizen council sectors) to enable as wide participation of all relevant actors as possible. The procedure and criteria for selecting representative stakeholders to participate in the NAP will be determined through workshops, official consultations and other participatory and gender-responsive coordination mechanisms, steered by the NDA's office, but major groups (i.e. sectoral agencies, local governments, farmer's communities, environmental and development NGOs, women's groups, indigenous people, academic and the private sector) will all be included. The **mechanism** that will be used to ensure a broad and sustained engagement of stakeholders includes specific activities such as:

- a. Open call to public and private institutions, cooperation agencies, UN agencies, universities, public research institutes, NGOs, etc. to present their interest to be part of the NAP process in Ecuador.
- b. Definition of procedures and criteria for selecting representative stakeholders and the roles they will assume in the respective Sectoral Working Groups (SWG), within the framework of their competences, scope of action and relationship with the prioritized sectors. In addition, specific action procedures/rules will be established for the operation of the Sectoral Working Groups.

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<sup>9</sup> It is essential that the participation of women's movements and groups be evidenced through: relevant documents (such as meeting reports) and a brief note (500 words) on the COs collaboration with women's groups, highlighting the profile of each group and the activities in which they have been involved.

- c. Selection process led by GCF NDA and sectorial ministries.
- d. Creation of six SWG, corresponding to the CCA prioritized sectors by the NCCS (the chair of each group will be the sectorial ministry, and the Minister of Environment with the role of Secretariat). These groups will be closely linked to those established for the NDC Ecuador formulation process (adaptation component).
- e. Active participation of the SWG along the activities for NAP development process.
- f. Continuous feedback loop by the SWG chair to stakeholder groups on the progress of the NAP process.
- g. Definition of the management arrangements for the NAP implementation phase, including roles, responsibilities, expected support (financial & technical), and the definition of enabling documents (e.g. Memoranda of Understanding, Agreements, etc.) for all relevant stakeholders.

The definition of the selected approach and strategies foreseen for the project have arisen from diverse successful climate change adaptation experiences (studies, research initiatives, actions and projects) that have been developed in the country during the last 10 years and particularly from 2011, allowing to reach to a better knowledge and understanding, although still limited, about:

- i) Levels of sensitivity and adaptive capacity of representative human and natural systems;
- ii) Identification of climate threats (present and future) and their actual and potential impacts;
- iii) Exposure levels to the aforementioned climate threats;
- iv) Gaps, requirements and progress in actions and research initiatives of adaptation at sectoral or local level;
- v) Future climate projections (under various scenarios) with time horizons until the end of the 21st century;
- vi) Evidence of the effects caused by climate alterations on the continental glaciers, behavior and incidence of tropical disease-transmitting mosquitoes, oceanic-atmospheric interactions and its economic repercussions, etc.

Although progress has been made since the date of the prioritization of vulnerable sectors to climate change in the country, it remains unquestionable the need to replicate, scale and deepen vulnerability assessments with coverage throughout the national territory (continental and insular) and multi sectoral approach.

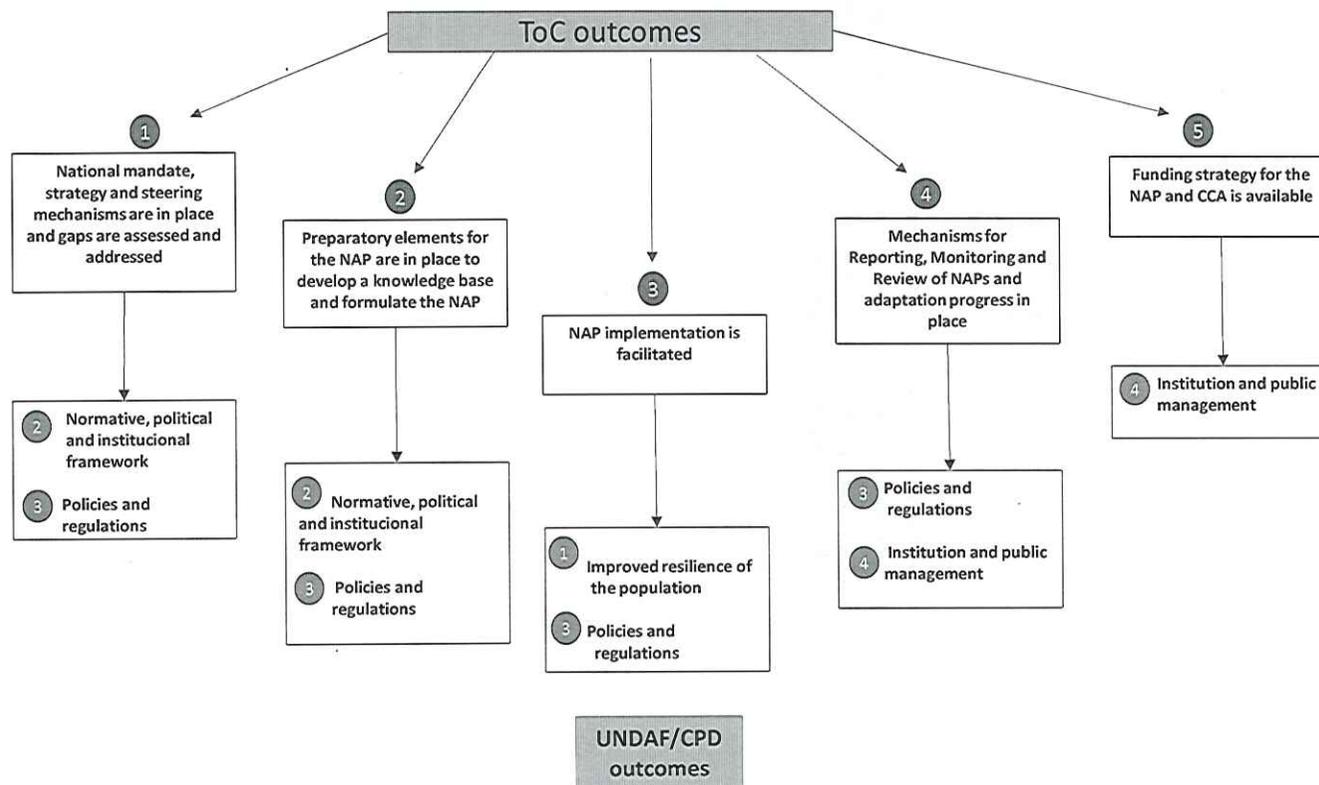
The results of the Third National Communication on Climate Change in Ecuador (MAE, 2017) clearly indicate that the scope of projects, studies and developed research, has in most cases a demonstrative character (pilot projects), or they are focused on a few climate variables, territorial components and / or sub-sectors of development.

Finally, in order to link the ToC of the NAP project with the outcomes of the UNDAF/CPD the expected outcomes in each case are shown below in table format. In addition, a diagram of interrelationships between the aforementioned outcomes is included below.

**NAP ToC & UNADAF/CPD expected outcomes.**

ToC outcomes	UNDAF/CPD outcomes
1 National mandate, strategy and steering mechanisms are in place and gaps are assessed and addressed	1 By 2022, people, especially priority groups or those historically excluded, in the exercise of their rights, increase their access to quality social services and protection, improving their capacity for resilience, promoting gender equality and reducing the violence. (Impact 1: People)
2 Preparatory elements for the NAP are in place to develop a knowledge base and formulate the NAP	2 By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)
3 NAP implementation is facilitated	3 By 2022, Ecuador has policies and regulations that favor the diversification of the productive structure, the generation of decent work and sustainable livelihoods and the economic inclusion of people with equal opportunities for women and men. (Impact 3: Welfare)
4 Mechanisms for Reporting, Monitoring and Review of NAPs and adaptation progress in place	4 By 2022, Ecuador has strengthened and articulated institutions that favor public management and citizen participation for the protection of rights and the consolidation of a democratic and peaceful society. (Impact 4: Peace)
5 Funding strategy for the NAP and CCA is available	

Source: self-elaboration, 2018.



Source: self-elaboration, 2018.

Some relevant aspects linked to the assumptions that have been established as critical for achieving the expected NAP results are:

- By the end of the project, the sectoral institutions and the local governments will have sufficient information and tools for an adequate management of climate change adaptation in their respective action areas, aimed at integrating the adaptive variable into development planning and reduce in the medium and long term the human and natural systems vulnerability, susceptible to being affected by climate hazards.
- Undoubtedly, the studies of future climate, vulnerability and climatic risk that will be made, the guidelines and regulations that will be generated, the institutional capacities that will be create, the adaptation strategies and actions that will be design, the technical tools that will be produce and the measurement, reporting and verification mechanisms that will be establish, will contribute in a decisive way in achieving these changes.
- Beyond having a set of conditions that facilitate adaptive processes, it is essential to pass from the design of adaptation actions to their subsequent implementation in territory, because only in this way those processes will be provide substantively support to reduce vulnerability and / or to increase resilience.
- Technical and political support provided by relevant sectoral institutions and actors, represents the most critical external factor for achieving the expected changes, therefore, a raising awareness processes about the Project relevance and a continuous and transparent dissemination about the progress and results, will have a favorable impact on decision makers and key technical personnel.

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## IV. RESULTS AND PARTNERSHIPS

The NAP project builds upon the stipulations and priorities established in the instruments that guide the management of development planning at sectoral, territorial and local levels, such as the Constitution and NDP documents. It also takes into account the priorities established by the NSCC (2012-2025). The project will focus mainly on the integration of CCA into six prioritized sectors by the NCCS: i) Natural Heritage; ii) Water Heritage; iii) Food Sovereignty, Agriculture, Livestock, Aquaculture and Fisheries; iv) Health; v) Productive and Strategic Sectors; and, vi) Human Settlements, with a cross-focus on the climate risks faced by priority groups<sup>10</sup>.

In most planned interventions of the project, it will be necessary to hire national and international consultants, organize participatory workshops, prepare technical documents and systematize the resulting information. The deliverables of each activity will be developed under the supervision of the Project Management Unit and the support of the NDA and UNDP CO. Some deliverables will incorporate a gender focus through all the project cycle.

### Expected Outcomes, Sub- Outcomes and Planned Activities:

#### **1. National mandate<sup>11</sup>, strategy and steering mechanisms are in place and gaps are assessed and addressed.**

Its main objectives are to support the institutionalization of the NAP process as well as to assess and address the technical and policy gaps that limit the integration of adaptation into development planning at the sectoral, territorial and local levels in the country. Recognition of barriers is further promoted through studies and inventories of the needs, weaknesses and gaps that hinder assessments of vulnerability and climate risk in the six prioritized sectors in Ecuador, as well as limitations and restrictions of available future climate information. Finally, communication and awareness strategies on the importance of climate change adaptation will be designed.

##### **1.1 Establish a methodology and institutional coordination process for the development, implementation and review of NAP.**

It is necessary that the NAP process be institutionalized. For that purpose, a common methodology needs to be agreed by the stakeholders outlining the main steps, tools and methods needed for steering, implementing, monitoring and evaluating the NAP. This methodology will be guiding the NAP development and implementation as well as possible future revision of the NAP with attention given to ways for financing the future exercises in an autonomous, sustainable manner.

During the preparation phase of the NAP Proposal it discussed the need for improved institutional coordination to integrate CCA into development planning at sectoral, territorial and local levels. Participants in that phase agreed that the Ministry of Environment (MAE) should lead the NAP process in its capacity of chair of the Inter-institutional Climate Change Committee (ICCC) and as the National Designated Authority of the Green Climate Fund. The National Secretariat for Planning and Development (SENPLADES) should participate as main partner in the design and implementation of the NAP's phases. This Sub-Outcome will be implemented as follows:

1.1.1 Design and establish, through normative instruments (e.g. ministerial agreements), a specific and detailed methodology that guides the preparation and future revisions of the NAP, to be steered by the ICCC. This methodology will be developed through workshops, official consultations and other participatory and gender responsive coordination mechanisms, steered by the NDA's office and will enable the institutionalization of the NAP process.

1.1.2 Establish institutional integration mechanisms for the coordination of the NAP, taking into account the structure and sectoral priorities established by the NSCC, and ensuring participation of all relevant

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<sup>10</sup> The Priority Groups was indicated in footnote 1.

<sup>11</sup> In this document, it is understood by "National Mandate" to the set of laws, regulations, decrees, etc., officially issued by a governmental body.

stakeholders. Priority will be given to the participation of women groups and indigenous people in consultation processes and under a gender responsive focus that will be carried out during NAP construction. Existing and other emerging mechanisms and bodies will be used; e.g., ICCC, Citizen Councils, Sectoral Working Groups related with the NAP process and other Working Groups that are being established for the Nationally Determined Contribution (NDC) construction phase.

## **1.2. Stocktake and assess gaps impeding adaptation planning, in climate information and analyses, technical capacity and skills at sectoral, territorial and local levels**

In Ecuador, a limited level of knowledge about the strengths, weaknesses and gaps of information, resources and tools necessary to facilitate, directly and indirectly, the integration of climate change adaptation into development planning at sectoral, territorial and local levels remains. Some relevant actors and principal sources of information that support the development of this activity have been identified during the preparation phase of the NAP proposal. A thorough assessment and gap analysis of climate information as well as capacity needs assessment are needed to enable identify adequate measures to palliate these gaps. This Sub-Outcome will be implemented as follows:

- 1.2.1 Perform a comprehensive inventory with a proper analysis of the shortcomings and gaps of the social, economic and environmental information using a gender responsive focus<sup>12</sup> necessary for preparing assessments of vulnerability and climate risk in the six prioritized sectors established by NCCS. The inventory will be complemented with an assessment of available climate studies with focus on: a) a comparative study of their respective potentials to be used as inputs in the modeling of climate change impacts at the sectoral, territorial and local levels (useful in climate risk analysis); and b) a technical document with recommendations on complementary climate studies required.
- 1.2.2 Compile relevant experiences (from past and ongoing initiatives) of CCA actions in the six prioritized sectors that have been integrated (directly or indirectly) by ministries or GADs (sub-national governments) in development planning at territorial or local level. Additionally, complement these with information about other experiences relevant to CCA management in Ecuador (e.g. PRAA, PACC, REDD+, Ecuador's NDC and other projects). This exercise will particularly attempt to synthesize lessons learned and best practices related to the private sector participation as well the incorporation of gender focus and the effective participation of indigenous people in developed adaptive and/or consultation processes could be identified.
- 1.2.3 Analyse strengths, weaknesses (including technical skills) and resources needed to integrate climate change adaptation into current and in future processes of development planning at sectoral, territorial and local levels (defined by NDA and oriented by SENPLADES through technical guidelines) as well as in policies, programs and projects of the six prioritized sectors, including planned private sector initiatives.
- 1.2.4 Design a proposal<sup>13</sup> to strengthen and update the capacities of the National Institute of Meteorology and Hydrology with the aim to generate better climate data and relevant studies of climate change. The proposal will include a focus on training, equipment, and improvements in the processes of gathering and processing information.

## **1.3. Design strategies for communication, awareness raising and training for key actors linked to the integration of climate change adaptation into development planning at sectoral, territorial and local levels.**

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<sup>12</sup> This gender analysis should consider: i) description of the gendered dimensions, highlighting any differences in the situation of women and men; ii) the differential implications of the proposed intervention for the lives of women and men; iii) the impacts of the proposed intervention on gender.

<sup>13</sup> This project will include the development of a diagnostic component that allows its preparation in a manner consistent with the current operating conditions and the new functional organic status of INAMHI (since March 2019, it becomes an entity attached to the Ministry of the Environment).

The success of the NAP depends on having informed and committed stakeholders, partners and direct/indirect beneficiaries of the project that are conscious of the importance of integrating adaptation into the development planning process and its expected results (reducing vulnerability and increasing resilience at sectoral, territorial and local levels). This Sub-outcome will focus on designing and implementing strategies for communication, awareness raising and capacity building for public and private planners and decision makers and other key actors related to the NAP process, including private sector. Consultants will develop these strategies. It is expected that the information generated in Sub-Outcome 1.2 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 1.3.1 Develop and implement a communication and awareness-raising strategy for relevant partners (i.e. technical and political focal points of ministries of the six prioritized sectors) and other key stakeholders (civil society delegates, local professional associations, private-sector staff, NGO personnel, academics and researchers, local governments, indigenous communities, private producer associations, women groups, etc.) linked to the NAP. This strategy will be constructed through a participative and gender responsive process oriented to emphasize the importance of integrating CCA into development planning as an effective instrument to increase resilience; as well as to institutionalize the NAP process in the country.
- 1.3.2 Design and implement a training programme to strengthen the skills of technical staff (at least 100 public and private technical staff) related to the integration of adaptation into development planning processes at the sectoral, territorial and local levels. This programme will be developed building upon the results of Activity 1.2.3 and in sets of workshops with national coverage<sup>14</sup>, ensuring gender responsive focus and participation of indigenous peoples, and will also be part of the NAP institutionalization process.

## **2. Preparatory elements for the NAP process are in place.**

Its main objective is to establish a solid base of information and knowledge that will adequately inform decision-making and facilitate the integration of adaptation into development planning at the sectoral, territorial and local levels in Ecuador. The optimization of climate forecasts will enable undertaking thorough climate vulnerability and risk assessment (including the assessment of impacts and generation of adaptive responses). Also, this Outcome will address the identification, prioritization and valuation of adaptation actions and the development of guidelines for the integration of adaptation into development planning processes that will complement and improve existing sectoral and territorial guidelines (emitted by SENPLADES) and established technical procedures to work in CCA at local level (emitted by MAE). Finally, the NAP formulation and the design of the respective dissemination tools are also planned as part of this Outcome.

### **2.1 Generate technical documents and additional climate studies for Ecuador.**

Currently, in Ecuador there are multiple climate studies and future climate projections, but these fail to satisfy end-user requirements, because of their limited resolution and scale. There are climate projections useful for the medium and long term (the next 15 years, and until the end of the century) as well as statistical climate analyses that allow climate projections for the short and medium term (between 5 and 10 years into the future).

In climate studies previously developed, Global Circulation Models (GCM) were used directly for the simulation of climate projections for Ecuador. The cell size used has a low resolution (more than 100x100 km). In a cell of this size there are multiple topographic and land use conditions, and such a resolution is not granular enough to facilitate more accurate analysis and inform decision making at local level. Simulations carried out later, during 2017 (as part of Ecuador's Third National Communication of Climate Change (TNC), allowed to adjust the size of the cell to a better resolution (10 x 10 km), through downscaling processes, however this resolution is not enough either. For these reasons, it is essential to improve the available studies<sup>15</sup> through downscaling techniques

<sup>14</sup> It is expected that the workshops will be carried out at the national level in various regions.

<sup>15</sup> More recently (2018), other vulnerability and climate risk studies at sub-sector (livestock) and territorial level have been made from the climate information generated by the TNC, and applying climate indices for a more precise identification of climate threats. However, these studies do not cover the expectations of NAP, either because of its scope or territorial coverage.

(dynamical or statistical) and use of observed data from additional meteorological stations.

These additional climate studies and technical documents will be developed by consultants. It is expected that the available climate projections and other available climate studies will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 2.1.1 Analyse available climate indices (related to extreme meteorological events) and climate trends (related to climate variability and change) to make short- and medium-term climate forecasts, useful for a precise identification of short- and medium-term climate impacts at sectoral, territorial and local levels, which would in turn allow the definition of climate change adaptation actions to be included in the NAP.
- 2.1.2 Develop and apply a technical methodology for prioritization of specific zones<sup>16</sup> (at least one specific geographical zone for each prioritized sector) based on sectoral needs, socio-economic scenarios, gender responsive focus and the information generated through the Sub-Outcome 1.2. These prioritized zones will be useful for preparing studies of regionalization of climate projections (ref. 2.1.3) that provide key information to make long-term climate “forecasts” for the subsequent identification and prioritization of long-term climate impacts at sectoral, territorial and local levels.
- 2.1.3 Generate six downscaled climate projections (one for each prioritized sector) based on Activity 2.1.2, that allow the identification and categorization of climate hazards for each sector and the subsequent identification and prioritization of the respective CCA actions.

## **2.2 Perform vulnerability and climate risk studies at territorial and sectoral scales, including the assessment of impacts and generation of adaptive responses.**

The vulnerability and climate risk analyses available for Ecuador have been developed using different methodologies and approaches, which in many cases are not comparable. In addition, these analyses are not officially recognized because they do not have national coverage (in most cases they have local coverage: at the level of a watershed or canton or parish, or exceptionally at the provincial level). On the other hand, the approach given by the IPCC in its Fifth Report in 2014 is still little known or used, which is why climate risk assessments are still at an early stage in the country. Undoubtedly, information about vulnerability and climate risk is a key input for decision-making in the development planning processes of ministries and GADs. These vulnerability and climate risk studies will be developed by consultants. It is expected the information generated in Sub-Outcome 2.1 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 2.2.1 Produce six sectoral Vulnerability and Climate Risk studies (one for each prioritized sector) including assessments of climate change impacts in the medium and long terms, using software models. These will be based on the information generated by Activities 2.1.2 and 2.1.3. Additionally, these studies will include the formulation of sets of CCA options (at the sectoral level) that will be integrated in the NAP document. In all cases, these studies will be carried out with the support of Sectoral Working Groups (with the main roll of feedback) making sure to include gender and indigenous peoples’ considerations<sup>17</sup> into formulated actions. The studies will include assessing climate risks and impacts on vulnerable groups (e.g. women and indigenous peoples’) as well as some of their major livelihoods and economic activities.

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<sup>16</sup> It is expected that during the NAP process, national coverage will be achieved for all the activities established in the logical framework. The funds obtained from the FVC will be used to cover specific geographical zones and the gaps will be covered with other resources coming from international cooperation, which can be managed through the application of different mechanisms (eg, projects proposed within the framework of NDC Ecuador, under the conditioned scenario).

<sup>17</sup> Among the considerations on indigenous peoples, will be include those related to inter-culturalism concept.

2.2.2 Generate one territorial Vulnerability and Climate Risk study<sup>18</sup> with local level granularity and with national coverage that includes an assessment of short- and medium-term impacts of climate threats. This study will use the information generated by Activity 2.1.1 and will establish adaptation actions typologies<sup>19</sup> and CCA action profiles at territorial and local levels (at least 10 actions) to be included in the NAP. These typologies and adaptation action profiles will be developed with inputs from and consultation with relevant local stakeholders (key informants, private sector delegates and other relevant actors) and Sectoral Working Groups, making sure to include gender and indigenous peoples' considerations into the formulated actions.

### 2.3 Develop valuation studies of climate change adaptation options.

Ecuador has not fully developed yet experience of determining the costs of CCA or standardized methodologies. It is essential to have accurate and reliable information about the costs of implementing prioritized adaptation actions as part of the activities of the NAP process, so that strategies and funding mechanisms can be designed appropriately. Such evaluation studies will be developed by consultants. It is expected that the information generated in Sub-Outcomes 2.2 and 3.1 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

2.3.1 Prioritize, appraise and evaluate CCA options<sup>20</sup> emanating from Activities 2.2.1 and 2.2.2 (to be selected and prioritized applying the criteria developed in Activity 3.1.1), considering the following aspects: i) cost analysis of non-adaptive options; ii) cost analysis of the social, economic and environmental benefits of adaptation; iii) cost analysis of adaptation actions to be implemented (selected in consideration of CCA actions identified in Activities 2.2.1 and 2.2.2 and applying the prioritization criteria indicated in Activity 3.1.1); and iv) gender<sup>21</sup>. In all cases, these analyses will be carried out with the support of Sectoral Working Groups (with the main roll of feedback) making sure to include gender and indigenous peoples' considerations.

### 2.4 Formulate and communicate an overarching NAP document that takes into account Sectoral and Sub-National considerations.

Since the publication of the NSCC in 2012, there has been no other official instrument to guide public policy related to CCA management in Ecuador. In addition, the guidelines issued by MAE in 2014 (Ministerial Agreement N° 137) only address the integration of adaptation into local development planning. Therefore, the formulation of the NAP and the subsequent dissemination of its results and progress constitute a unique opportunity to have specific public policy instruments that facilitate the integration of adaptation into development planning at the sectoral, territorial and local levels. The availability of the NAP constitutes a fundamental contribution to its institutionalization process.

A draft NAP will be developed building on the results of Sub-Outcomes 2.1, 2.2, 2.5, 3.1, 3.2, 3.3, 4.1, 4.4 and 5.2. In addition, the NAP will be finalized after a process of consultation involving sectoral and local stakeholders, including women's groups, community-based organizations, environmental and social non-governmental organizations as well as the private sector and academics.

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<sup>18</sup> It is expected that this study will complement the climate information produced during the development of the initiative led by CONGOPE (2018) for the generation of Provincial Climate Change Strategies.

<sup>19</sup> It is anticipated that this actions will be "climate smart actions". In total there will be 10 actions typologies in total for all the country.

<sup>20</sup> Currently, during the NDC - Ecuador formulation process, a Cost Methodology is being developed for the valuation of CCA actions that will serve as a basis for this analysis.

<sup>21</sup> It refers to the cost of include a gender responsive focus in the CCA options.

The consultation process will be defined in detail during activity 1.1.1 that sets out the methodology for the NAP. Following the consultation, the comments received will be compiled and integrated into the final NAP. This Sub-Outcome will be implemented as follows:

- 2.4.1 Formulate a draft National Adaptation Plan, structured as follows: i) diagnostics drawn from the studies/analysis of Outcome 1; ii) climate data, vulnerability and climate risk baseline scenario drawn from Sub-Outcomes 2.1 and 2.2; iii) prioritized adaptation options based on Sub-Outcomes 2.2 and 2.3; iv) NAP building process that includes the identification of key stakeholders, beneficiaries, responsible, deadlines, budgets, funding, etc.; v) implementation arrangements drawn from Sub-Outcome 3.2; vi) enabling instruments for the NAP process based on Sub-Outcomes 2.5, 3.1, 3.2, 3.3; vii) implementation strategy drawn from Sub-Outcome 3.4; viii) NAP MRV system and dissemination strategy drawn from Sub-Outcomes 4.1 and 4.2; and, ix) funding and sustainable strategy drawn from Sub-Outcome 5.1.
- 2.4.2 Undertake a participatory process involving sectoral and local stakeholders, including women's groups, community-based organizations, environmental and social non-governmental organizations as well as the private sector to validate the draft NAP. This process will include very extensive consultations to guarantee a participative and gender responsive approach, ensure the participation of private sector, academics and indigenous populations, and prevent the build-up of adverse social and environmental implications.
- 2.4.3 Compile and finalise the NAP integrating review comments. The final NAP document will be included as the main input for the adaptation chapter in the Fourth National Communication expected to start in 2019.

## **2.5 Prepare guidelines for the vertical integration of CCA into development planning at the territorial and local scales.**

The Explanatory Guide (MAE, 2014) provides guidelines for the preparation of local plans for climate change and for the effective incorporation of the climate change dimension into updating the development and land use plans of the GADS (additional to those published on this topic by SENPLADES in 2011 and 2014). These tools have produced satisfactory, if limited results, but it is clear that much more targeted instruments are needed.

Therefore, it is essential to strengthen the integration of CCA into development planning at the territorial and local levels, with new and improved technical guidelines and/or regulations. Undoubtedly, these guidelines will constitute a key element in the integration of adaptation in development planning processes under the responsibility of sectoral ministries and the GADs. These guidelines to integrate CCA into development planning will be developed under this Sub-Outcome. It is expected that the information generated in Sub-Outcomes 2.1, 2.2 and 2.3 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 2.5.1 Develop three technical guidelines and/or regulations to integrate climate change adaptation into development planning (one guideline for each level of local government). These instruments will be developed in inter-institutional articulation procedures between MAE, SENPLADES and the support of the Sectoral Working Groups of the six prioritized sectors, with the final purpose of facilitating the integration of CCA in subnational development planning processes. This Activity will complement other CCA current initiatives such as that undertaken by SENPLADES to incorporate the climate change dimension into development and land use plans, and the one initiated by MAE to impulse the formulation of specific climate change plans at local scale.

## **3. NAP process is facilitated and started.**

Its main objective is to contribute to the building of conditions necessary for the implementation of the NAP process in the country, and to promote, complement and improve the availability of tools and key instruments for the facilitation of the integration of CCA into development planning at the sectoral, territorial and local levels (e.g., CONGOPE's planned initiative financed by European Union to generate useful technical documents for the design and implementation of provincial climate change strategies). For these reasons, it is necessary to develop a strategy for the implementation of adaptation actions, generating technical standards that will be useful for the

planning and implementation of programs and projects related to the six sectors prioritized by the NCCS, and preparing a proposal for joint actions with similar initiatives at regional or supranational levels.

### **3.1 Define criteria for the prioritization of CCA actions.**

Despite the many experiences in the design and implementation of projects and initiatives for CCA that exist in Ecuador, no standardized criteria have been developed to prioritize adaptation actions<sup>22</sup>. Through various past and ongoing initiatives, various types of prioritization criteria have been tested (using different methodologies), but all of them only on an experimental basis. For this reason, it is essential to develop, in a standardized way, criteria that allow the prioritization of adaptation actions across the country.

The criteria will be developed by experts using the results of Activity 2.3.1 with the sets of CCA options identified from Activities 2.2.1 and 2.2.2. It is expected that the criteria will be useful in other adaptation initiatives at sectoral, territorial and local levels; and it will be used as an official instrument of the MAE (through ministerial agreement or another other regulation) for future processes as well. It is expected that the information generated in Sub-Outcome 2.3 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

**3.1.1** Develop a list of prioritization criteria<sup>23</sup> for CCA options. The prioritization criteria will be carried out with the support of the Sectoral Working Groups (with the main roll of feedback), ensuring that it includes gender and indigenous peoples' considerations, as well the private sector engagement to participate in the implementation of CCA actions.

### **3.2 Elaborate an implementation strategy of adaptation actions, joint actions with others ongoing adaptive initiatives (at national and international scale) and sustainability of the adaptation processes being promoted.**

Many actors in Ecuador, must assume responsibility for the integration of CCA into development planning at the sectoral, territorial and local levels, per their institutional functions. Similarly, other relevant actors, especially in the private sector, have participated in implementing adaptation initiatives that sometimes have been managed in isolation. For these reasons, it is necessary to develop a strategy that will enable a coordinated and synergistic action between different institutions in the public and private sector. It is expected that the information generated in Sub-Outcomes 1.1 and 2.3 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

**3.2.1** Develop an implementation strategy to carry out the prioritized adaptation options (prioritized through Activity 2.3.1) and for identifying synergies (at national and sub-national levels) that complement and provide sustainability to the NAP process. The strategy will be developed in coordination with sectoral ministries and other relevant stakeholders (through specific inter-ministerial/institutional arrangements defined through Sub-Outcome 1.1) by planned participation and discussion spaces (such as those that will be constituted for the Sectoral Working Groups, as mentioned in Activity 1.1.1). This strategy also aims to incorporate the adaptation dimension into other planned sectoral actions which will increase the expected impact of the NAP because sectoral budgets will be added for the design and implementation phases of CCA selected options.

### **3.3 Generate technical documents for the horizontal integration of climate change adaptation into development planning at the sectoral levels.**

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<sup>22</sup> During the Ecuador's NDC formulation process (2018), some additional criteria for the prioritization of initiatives or measures to climate change adaptation was be development.

<sup>23</sup> These prioritization criteria list for CCA options will includes multi criteria tools with a strong emphasis on environment and social variables(Including gender), as well as the respective indicators and results.

Currently there are still very few usable technical standards in Ecuador that specifically relate climate change adaptation with the different phases of the project cycle. There are neither sufficient complementary normative instruments, nor technical documents that allow, for example, sufficient climate change adaptation-related information for adequate planning, design and execution of programs and projects of the six prioritized sectors. The availability of these technical documents (standards and instruments) would constitute a fundamental contribution to the integration of adaptation into the development planning process. These technical documents will be developed by consultants. It is expected that the information generated in Sub-Outcome 2.2 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 3.3.1 Generate six technical standards relevant to the six prioritized sectors to integrate climate change adaptation into development planning processes at the sectoral level. These technical standards will provide technical data, recommendations and other inputs useful for the design and implementation of sectoral programmes and projects, and they will be developed in a participative manner with the support of the Sectoral Working Groups (with the main roll of feedback), ensuring the inclusion of gender and indigenous peoples' considerations.
- 3.3.2 Develop two technical guidance documents on: i) adaptation options' typologies; and ii) relevant aspects of CCA options design. These instruments will provide theoretical definitions, practical recommendations and examples for the main adaptation actions typologies (different kinds of CCA actions in each prioritized sector) and key aspects of their design (i.e. engineering adaptive solutions against the potential impacts of seasonal flow variations on the infrastructure or the operations of projects in the water sector). These documents will be used by technical staff, academics, consultants and other people connected to the phases of design and implementation of CCA options at sectoral, territorial and local levels, and they will be developed with the support of the Sectoral Working Groups (with the main roll of feedback), ensuring the inclusion of gender and indigenous peoples' considerations.

#### **3.4 Identify synergies with other plans, projects and initiatives of climate change adaptation at regional level.**

In recent years, several actions or joint projects for climate change adaptation have been undertaken in the Andean region. Most of these have been isolated cases and mostly with of a pilot or demonstration nature (e.g. PRAA project). Undoubtedly, the development of the NAP process opens the way for synergistic / coordinated action with parallel initiatives in neighboring countries (countries of the Andean region and/or South America), as well as other adaptive initiatives that are already in development. For this reason, it is essential to generate a proposal of synergies that permits the optimization of the use of the funds and better results in adaptation processes. This proposal will be developed by consultants. It is expected that the information generated in most of Sub-Outcomes of Outcomes 2 and 3 will be used as a relevant input for this Sub-Outcome, which will be implemented as follows:

- 3.4.1 Identify synergies with other plans, projects and initiatives of climate change adaptation at regional level (e.g., the Andean region and / or South America), including the drafting of Memoranda of Understanding (MoU) for interaction, exchange and transfer of information/knowledge and technology, etc. The agreements would be signed between the ministries of Ecuador and their counterparts in neighboring countries or with other competent authorities, as appropriate. Regional agreements will facilitate the development of binational/regional proposals that seek funding for joint CCA actions at the sectoral level.

#### **4. Mechanisms for reporting, monitoring and review of NAPs and adaptation progress in place.**

Its main objective is to build a mechanism that systematically allows the monitoring of the NAP process as well as the evaluation and dissemination of its progress and results. Undoubtedly, the use of indicators (output, outcome and impact indicators) will allow a strong and appropriate evaluation mechanism of the progress and results of NAP process.

##### **4.1 Design an MRV system for the NAP process effectiveness, based on indicators.**

In Ecuador, the use of indicators to assess CCA actions and initiatives is still a pending task, because only experimental experiences or pilot projects are available. The measurement of the effectiveness of adaptation actions goes beyond the verification of their degree of compliance. A planned action must not only be executed according to the agreed timeframe and outcomes, but also achieve the expected results. An MRV system will contribute significantly to the success of the NAP, and the integration of adaptation measures into the development planning processes. This Sub-Outcome will be implemented as follows:

4.1.1 Develop indicators and a system of measurement, reporting and verification (MRV) of the national adaptation plan effectiveness, to measure: i) the level of integration of adaptation into the development planning at sectoral, territorial and local levels; ii) the increased resilience and / or the reduced vulnerability at the sectoral, territorial and local levels; and iii) gender & indigenous peoples' mainstreaming. This system will include a strategy for collecting data that will feed into the indicators.

#### **4.2 Generate periodic reports on progress and results of the NAP process.**

The dissemination of the results generated by an MRV system ensures improvements in the public and private management of CCA, and in particular will significantly support the integration of adaptation into development planning at sectoral, territorial and local levels. Also, it is important that this kind of information be available because it constitutes a relevant input to the next National Communication on Climate Change<sup>24</sup>. These reports will be developed by the NAP Project Management Unit. All information related to the NAP process, as well as information from the MRV system (according to Activity 4.1.1), will be key inputs for the Fourth National Communication on Climate Change expected to start in 2019 (and subsequent National Communications). It is expected that the system implemented in Sub-Outcome 4.1 will be used as a relevant instrument for this Sub-Outcome, which will be implemented as follows:

4.2.1 Prepare and disseminate annual reports (technical documents) on the progress and results of the NAP process.

#### **5. Funding strategy for the NAP and CCA is available.**

The main objective of this output is to support the generation of specialized information and a detailed strategy that provides concrete possibilities to ensure the financing and sustainability of the NAP process. Key instruments must be developed to help stakeholders mobilize the funding necessary for the integration of CCA into development planning, as well as for the implementation of prioritized CCA actions, including effective options for the private sector investments. For these reasons, it is very important to generate this specialized strategy as an instrument that allows the NAP process.

#### **5.1 Define and design a funding and sustainability strategy of the NAP process.**

In Ecuador, there have been only a few experiences of formulation of strategies for financing CCA at sectoral, territorial or local level. Equally, the theme of sustainability of adaptive actions and processes has usually come up against the absence of long-term resources. To overcome this limitation, it is planned to design a sustainability strategy to ensure ongoing and future adaptation initiatives. This Sub-Outcome will be implemented as follows:

5.1.1 Develop a financing and sustainability strategy for the NAP process (including options for fundraising, scaling and replication) which quantifies the cost of adaptation options included in the NAP, and the identification of elements from the public and private sector, international cooperation, multilateral agencies, etc., who could co-finance adaptation activities in Ecuador. This strategy will include a detailed analysis of the alternatives and mechanisms to promote investments from the financial stakeholders. Also, this strategy

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<sup>24</sup> It is expected that the NAP information will also serve as support for the Biennial Adaptation Report and the Ecuador's NDC Adaptation Report Ecuador, which could be soon established as requirements by UNFCCC.

will include a specific section of economic resources mobilisation options for private sector investments<sup>25</sup> and the identification of coordinated and integrated measures and incentives to create a supportive and enabling environment for adaptation-related private investment, all of it with the final purpose to ensure the engagement of this sector. In addition, the Ecuadorian legal framework of Public & Private Alliances is expected to be applicable.

**The expected Outcomes** of the project require the application of a logical sequence of interventions. Undoubtedly, these interventions must be aligned with the main shortcomings identified during the preparation phase of the project, so that after its execution, the existing barriers have been fully overcome or, at least, reduced to a minimum.

The proposed interventions have been defined with the purpose of achieving a substantial change in the current status of the environment that facilitates the climate change adaptation integration into development planning, as visualized in the theory of change that governs the project, and also have the potential to contribute positively to national and global efforts to reduce vulnerability and increase the resilience and adaptive capacity of the human and natural systems associated with the prioritized sectors for the management of climate change adaptation in Ecuador.

By the end of the project it is expected a significant improvement in existing conditions in order to integrate, in an effective way, adaptation to climate change in the formulation and implementation of "multilevel" policies, strategies and development plans (national, sub-national or local) and, in consequence, reduce vulnerability and climate risk on the natural and human systems crucial for the country's development. This is expected to have a positive impact in the management of central government entities, decentralized autonomous governments, and other public and private institutions which promotes the implementation of development initiatives that are susceptible to being impacted by climate change effects.

This change implies, among other things, more and better technical information (climate and non-climate) useful for the proper management of climate change at the inter-sectoral and local scales; vulnerability and climate risk analysis at sectoral, territorial and local levels for the six sectors prioritized for adaptation action in Ecuador; technical norms regulating and orienting the processes of integration of the climate dimension into development planning; guidelines for the design, implementation, measurement, monitoring, reporting and verification of adaptation actions; increase in the critical mass of professionals and decision-makers with knowledge of climate problems and response alternatives; improvement in the effectiveness of preventive and corrective actions that are developed to address the effects of climate threats; increase knowledge about strategies and financing options for adaptation; etc.

It is expected that the change would be accomplished, on the one hand, through the participatory processes required to deliver on the above activities, while effectively involving the decision-makers of development planning, leader sectoral ministries, public and private entities with determinant roles in sectoral management, cooperating organizations and agencies, public research institutes, universities, communities (indigenous, peasant and others), unions and associations of production, women groups and other civil society actors. On the other hand, the change will be achieved through the progress that is made in issues such as the commitment of national and local actors who serve as decision-makers to integrate adaptation into development planning; the increase in investment amounts intended to contribute to development management (public and private); the effectiveness of the systems of measurement, reporting and verification of adaptation actions; the meticulous control of the resources used; the sustainability of the actions undertaken; the institutionalization of the adaptive processes implemented, etc.

Achieving the expected change demands the fulfillment of conditions (assumptions) such as:

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<sup>25</sup> *National & international potential donors or investors.*

- i. maintenance or optimization of the institutional structure that directs and leads the project;
- ii. continuous flow of economic resources that facilitate the development of project activities;
- iii. availability of sufficient information, human capital and/or businesses capable of supporting the creation of the planned deliverables (studies, consultancies, analyses, etc.);
- iv. political will in the management levels of the entities with roles in the project;
- v. adequacy of the activities envisaged in the change strategy;
- vi. empowerment and participation of relevant stakeholders;
- vii. guaranteed financing after project closure, providing sustainability to the actions and adaptive processes initiated;
- viii. ensuring effective linkages between the expected results of the project and the adaptation goals stipulated in Ecuador's Nationally Determined Contributions (NDC).

#### Partnerships:

Relations with project partners will be set through formalization of the necessary agreements for the normal functioning of the institutional arrangements defined in the NAP proposal, for which agreements or memoranda of understanding will be signed that enable: flow of technical information; technical input during preparation phases of terms of reference; selection committees conformation; technical proposals evaluation; consultancy products revision; capacity-building processes participation; issuance of guidelines for the standards and technical guides preparation; and definition scope of studies and analyses of future climate, vulnerability and climate risk, etc.

In operational terms, the link with partners and other key stakeholders will be given through the Sectoral Working Groups that will be officially established for each of the six priority sectors, in the context of the functioning of the Inter-institutional Committee on Climate Change. These groups will be composed of governmental members and non-governmental members. In all cases these members will be specialists from the staff of the public and private institutions linked to each sector.

The Project Board made up of the MAE in its capacity as National Authority designated by the Green Climate Fund (GCF), the National Planning Secretariat (SENPLADES) and the United Nations Development Program (UNDP), interacts with partners and key players through the Project Management Unit (PMU), providing it advice and guidance.

An organizational chart and details of the institutional arrangements of the project are included in Section VIII.

Currently, some of the potential partners of the project and other organizations established in the country develop and/or have planned to undertake, in the short term, climate change adaptation initiatives that contribute directly or indirectly to the objectives and results of the NAP and represent a clear option to South – South cooperation opportunities. Some of these initiatives<sup>26</sup> are listed below:

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<sup>26</sup> The initiatives included in the table below that are marked with an asterisk (\*) are in closing phase or have recently been completed during 2018.

Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
Sovereignty and food security, agriculture, livestock, aquaculture and fisheries.	Climate Smart Livestock Management, Integrating Reversion of Land-Degradation and Reduction of Desertification Risks in Vulnerable Provinces (GCI)	National (7 provinces)	Adaptation Fund (AF)	Ministry of Agriculture, Ministry of Environment, FAO- Ecuador	The project contributes to outcomes 2 and 3 of the ToC, realizing vulnerability analysis and the implementation of CCA measures.
	Sustainable Livestock	National	GCF	Ministry of Agriculture,	The project implements concrete CCA measures which contributes to the outcome 3 of the ToC.
	Project of inclusive and Sustainable Value Chains for Coffee, Cacao and Quinoa	National (5 provinces)	European Union	CEFA, GIZ, Ministry of Agriculture, Ministry of Environment	The project contributes to outcomes 2 and 3 of the ToC, realizing vulnerability analysis and the implementation of CCA measures. Finally, the project aims to develop mechanisms for reporting and monitoring of the implemented actions in territory.
	Neutrality in earth degradation	National	United Nations Convention to Combat Desertification (UNCCD)	Ministry of Environment	The project contributes to outcomes 1 and 2 of the ToC, pointing to establish institutional coordination process for the development of legal mechanism to protect natural heritage and ecosystem services. In order to do so, the project aims to raise legal, institutional and technical information which will contribute to the NAP baseline.
	Support for Decision Making for the Application and Extension of Good Sustainable Land Management Practices - DS - SLM	National	Global Environmental Facility (GEF)	FAO- Ecuador, Ministry of Environment	The project results contribute to the ToC outcomes 2 and 3, by providing technical information raised about degradation in national areas and the creation of a national geodatabase. Furthermore, the project implemented concrete adaptation actions which can be a guidance for designed CCA measures for the NAP process.

Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
	Strengthening adaptation capacity through food and nutrition security actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border area	Binational (Colombia - Ecuador) / South – South and Triangular cooperation opportunity	Adaptation Fund (AF)	World Food Program, Ministry of Environment-Ecuador, Ministry of Environment and Sustainable Development - Colombia, The Awa Great Family, Network of Community Councils of the South Pacific (RECOMPAS), Afro - Ecuatorian Comarca Confederation of the northeast of Esmeraldas (CANE).	The project design foresees the implementation of awareness campaigns for climate impacts and ancestral knowledge, as well as the creation and reinforcement of binational guidelines and knowledge to improve adaptation capacity and the implementation of concrete CCA actions in both territories. The results will contribute to the expected outcomes 1, 2 and 3 of the ToC.
	Strengthening the Resilience of Communities against Adverse Effects of Climate Change with Emphasis on Food Security (FORECCSA)*.	National	Adaptation Fund and National Financial Resources	Ministry of Environment, Ministry of Agriculture and Livestock, Local Governments of Pichincha and local Governments of the Jubones Basin	The project contributes to outcomes 2, 3 and 4 of the ToC, providing information raised for the vulnerability analysis and the concrete CCA measures implemented in over 50 local governments. Finally, the project developed mechanisms for reporting and monitoring the results of the CCA measures implemented in territory.
	Integrated Management for the Fight against Desertification, Land Degradation and Adaptation to Climate Change (GIDDACC).	National	National Financial Resources	Ministry of Environment – Ecuador	The project objectives are base in the creation of a national baseline on land degradation and desertification, as well as the creation of protected areas in fragile ecosystems and the restauration of affected areas. The project focuses on the implementation of concrete actions in order to reduce the pressure of productive activities in affected areas and aims to improve the understanding and awareness of local producers and companies. The results of the project will contribute to all of the expected outcomes of the ToC.

Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
Productive and strategic sectors	Provincial Climate Change Strategies	National	European Union	Consortium of Provincial Governments of Ecuador (CONGOPE), 23 provincial GADs	Contributes to the outcomes 2 and 3 of the ToC, creating mechanisms to integrate CCA into local development planning and the implementation of concrete CCA measures in strategic sectors at national level.
	Vulnerability Analysis of Emblematic Hydroelectric Power Plants of the effects of climate change in 7 hydrographic sub-basins of Ecuador (CHECC) *.	National	National Financial Resources, German Cooperation & Development Bank of Latin America	Ministry of Environment – Ecuador, GIZ & CAF.	The project developed a methodology for vulnerability analysis for climate change of hydroelectric power plants and implemented concrete CCA measures in territory. The results will support the expected outcomes 2 and 3 of the ToC.
Health	Environmental health and risk management in the face of emergencies and disasters	National	Pan American Health Organization (PAHO) / World Health Organization (WHO)	Ministry of Health, Ministry of Urban Development and Housing	The project pretends to links health problems to environmental risks such as natural disasters and climate change. The results will help to nourish the activities established in outcomes 2 and 3 of the ToC.
Water heritage	Andean Adaptation to the Impacts of Climate Change in Water Resources Project	Regional (Bolivia, Peru, Colombia and Ecuador)  /  South-South and Triangular cooperation opportunity.	Global Environmental Facility (GEF)	Ministry of Environment - Ecuador, Development Bank of Latin America- (CAF) & CONDESAN	The project contributes to outcomes 2 and 3 of the ToC, realizing vulnerability analysis and the implementation of CCA measures.  Finally, the project aims to develop mechanisms for reporting and monitoring of the implemented actions in territory.

Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
	Ecosystem based adaptation measures in Ecuador and Colombia	Ecuador and Colombia / South-South and Triangular cooperation opportunity.	Federal Ministry of the Environment, Nature Protection, Public Works and Nuclear Safety of Germany	Ministry of Environment and Development of Colombia; Ministry of Environment of Ecuador	The project contributes to outcomes 2 and 3 of the ToC, realizing vulnerability analysis and the implementations of CCA measures for the protection of watersheds and sustainable rural development.
	Regional Program AbE (for its acronym in Spanish): Strategies for Adaptation to Climate Change based on ecosystems in Ecuador and Colombia*	Ecuador and Colombia / South-South and triangular cooperation opportunity.	International Climate Initiative (IKI) funded by the Federal Ministry of the Environment, Nature Protection, Public Works and Nuclear Safety of Germany	International Union for the Conservation of Nature – IUCN; German Cooperation for Development	The project focused on the integration of an ecosystem-based adaptation process in the public and private sector as well as in local activities in different communities located in coastal areas. Therefore, the project realized individual and institutional capacity building process as well as the upscaling of local start-ups and the inclusion of climate change into local planning and concrete actions. The results of this project contributes to the expected outcomes 1 to 4 of the ToC.
Natural heritage	Costa Rica - Ecuador Cooperation to strengthen the capacities of Adaptation to Climate Change through Comprehensive Management of the Marine-Coastal Strip	Ecuador, Costa Rica / South-South and triangular cooperation opportunity.	German Cooperation for Development	Ministry of Environment of Ecuador, National System of Conservation Areas of the Ministry of Environment and Energy of Costa Rica	The project contributes mechanisms of integrating climate change considerations in local environmental planning. On the other hand, generates valuable investigations which contributes to the outcomes 2 and 3 of the ToC.

Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
Human settlements	Rural Infrastructure Program for drinking water (regional system Pesillo-Imbabura)	National	Development Bank of Ecuador, French Development Agency	Ministry of Environment of Ecuador & Local Governments.	The projects contribute to outcome 3 of the ToC, by implementing activities which increment the resilience to water shortage and guarantee a sustainable development of urban and rural areas in Ecuador.
	Construction of Chalpi Grande - Papallacta, Expansion of Paluguillo Plant and Paluguillo - Parroquias Orientales Transmission Line.	National	French Development Agency	Ministry of Environment, Metropolitan Public Company of Drinking Water and Sanitation (EPMAPS).	
	Global Agreement of Cities	National	European Union	6 local GADs, Association of Municipalities of Ecuador (AME), "Euroclima+", European Union.	The project contributes to the outcome 5 of the ToC by generating strategies for a sustainable development of cities including long term financing. On the other hand, the NAP project could provide mechanisms to include CCA strategies in the planning mechanism to guarantee a sustainable development of cities.

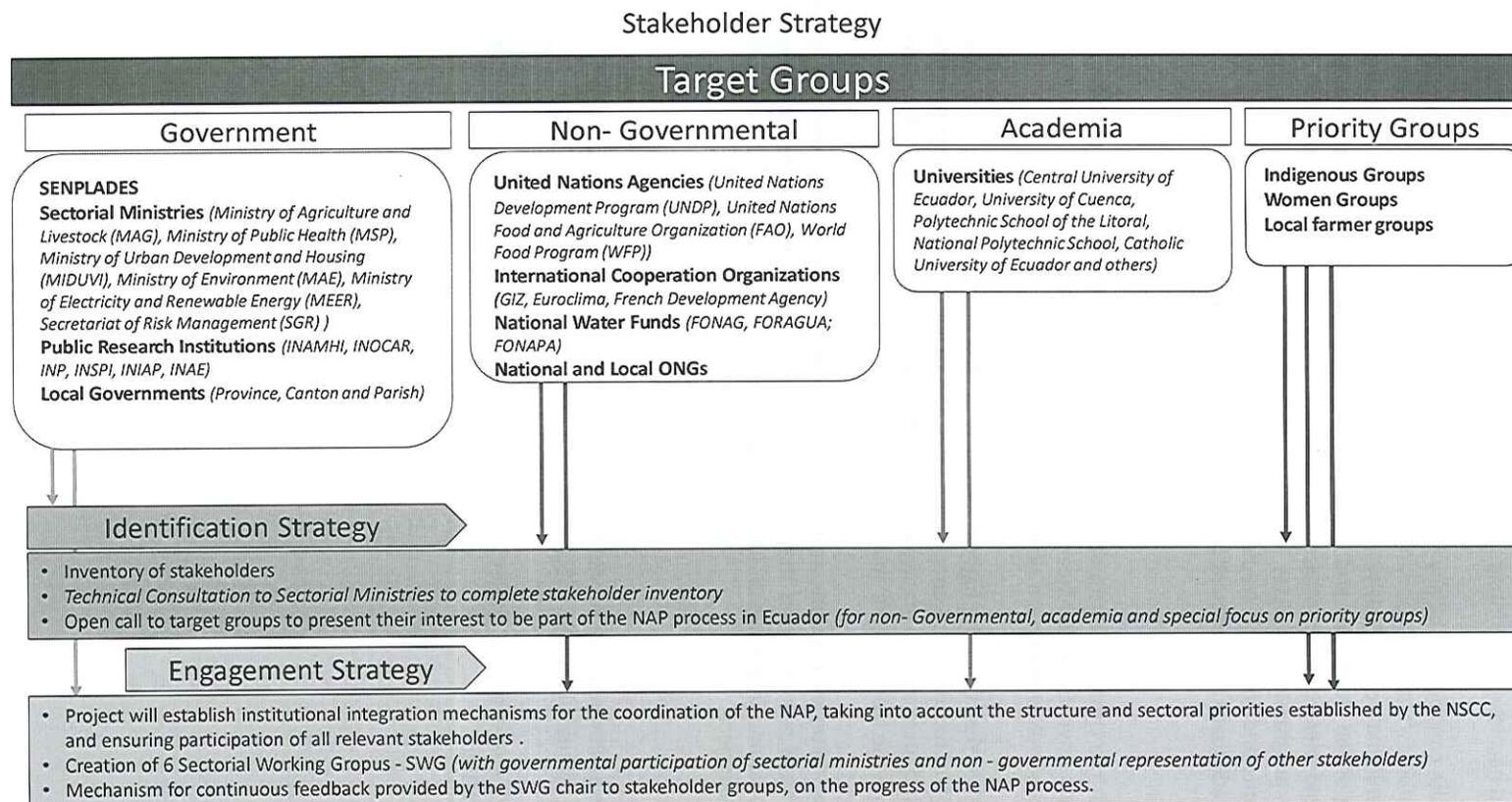
Prioritized Strategic Sector	Project name	Project reach & South – South and Triangular cooperation opportunities	Funding	Related institutions	Assumptions & Expected Results
	Regional Project:" Reduction of climate vulnerability and flood risk in urban and semi-urban coastal areas of cities in Latin America ". Action area: Disaster Risk Reduction and Early Warning Systems.	3 Cities in Latin America (Esmeraldas in Ecuador) / South – South and triangular cooperation opportunity	Adaptation Fund	Ministry of Environment-Ecuador	The project aims to implement concrete activities for risk reduction of disaster related to climate conditions and climate change, as well the integration of the approach of adaptation based in ecosystem in local planning. The expected results of the project will contribute to the outcomes 2 and 3 of the ToC.
	Sustainable intermediate cities	National	Federal Ministry of Economic Cooperation and Development (BMZ)	German Cooperation for Development, Ministry of Environment, National Planning Secretariat and Development, Association of Ecuadorian Municipalities, National Development Bank (BedE), Research Institutes and Universities, as well as civil society organizations.	The project aims to develop and implement strategies in order to provide tools and information for intermediate cities to be more resilient against climate change related impacts and disaster. It is expected that the results will provide inputs for all 5 outcomes of the ToC.

The main assumptions and results that are expected to be fulfilled and achieved by the project's key partners are:

Partner Institution	Assumption to fulfill	Expected Outcomes to be contributed
MAE: Ministry of the Environment	Maintenance or optimization of the institutional structure that leads the project and provides steering.  Ensuring effective linkages between the expected results of the project and the adaptation goals stipulated in Ecuador's Nationally Determined Contribution (NDC).	<ul style="list-style-type: none"> <li>National mandate, strategy and steering mechanisms in place and gaps assessed and addressed.</li> <li>Preparatory elements for NAP to develop a knowledge base and formulate the NAP in place.</li> <li>NAP implementation facilitated.</li> <li>Mechanisms for measuring, reporting and verification of NAP and adaptation progress in place.</li> <li>Funding strategy for NAP and CCA available.</li> </ul>
SENPLADES: National Planning Secretariat	Maintenance or optimization of the institutional structure that leads the project and provides steering.	
UNDP: United Nations Development Program	Continuous flow of economic resources that facilitate the development of project activities.  Deliver of all project activities, conduct procurement and facilitate operations and logistics.  Reporting and liaising with the donor during the development of the project.  Providing technical assistance to the execution of all project activities.  Providing quality assurance to guarantee appropriate project management milestones are managed and completed.	
Sectoral Ministries:  MAG: Ministry of Agriculture and Livestock MSP: Ministry of Public Health MIDUVI: Ministry of Housing and Urban Development MEER: Ministry of Electricity and Renewable Energy SGR: Secretariat of Risk Management	Availability of sufficient information.  Political will in the management levels of the entities with roles in the project.  Guaranteed financing during NAP implementation phase and after project closure, providing sustainability to the actions and adaptive processes initiated.  Empowerment of relevant stakeholders and engagement of focal points.	<ul style="list-style-type: none"> <li>Preparatory elements for NAP to develop a knowledge base and formulate the NAP in place.</li> <li>NAP implementation facilitated.</li> <li>Mechanisms for measuring, reporting and verification of NAP and adaptation progress in place.</li> </ul>
Universities:  UCE: Central University of Ecuador UC: University of Cuenca ESPOL: Coastal Polytechnic School EPN: National Polytechnic School PUCE: Catholic University of Ecuador USFQ: San Francisco University UIDE: International University of Ecuador	Empowerment and support of relevant stakeholders in the Academia.  Political will in the management levels of the entities with roles in the project.	
United Nations Agencies:  FAO: Food and Agriculture Organization WFP: World Food Program IOM: International Organization for Migration WHO: World Health Organization UNW: UN Women	Availability and sharing of sufficient information.  Guaranteed financing during NAP implementation phase and after project closure, providing sustainability to the actions and adaptive processes initiated.	

Partner Institution	Assumption to fulfill	Expected Outcomes to be contributed
	Empowerment of relevant stakeholders.	CCA available.
<p>International Cooperation:</p> <p>GIZ: German Cooperation Euroclima+: European Commission Programme AFD: French Development Agency</p>	<p>Availability and sharing of sufficient information.</p> <p>Guaranteed financing during NAP implementation phase and after project closure, providing sustainability to the actions and adaptive processes initiated.</p> <p>Empowerment of relevant stakeholders.</p>	<ul style="list-style-type: none"> <li>• Preparatory elements for NAP to develop a knowledge base and formulate the NAP in place.</li> <li>• NAP implementation facilitated.</li> <li>• Mechanisms for Reporting, Monitoring and Review of NAP and adaptation progress in place.</li> <li>• Funding strategy for NAP and CCA available.</li> </ul>
<p>Public Research Institutions:</p> <ul style="list-style-type: none"> <li>• INAMHI: Hydrological and Meteorological Institute</li> <li>• INOCAR: Oceanographic National Institute</li> <li>• INP: Fisheries National Institute</li> <li>• INSPI: Public Health National Institute</li> <li>• INIAP: Agricultural National Institute</li> <li>• INAE: Antarctic Institute</li> </ul>	<p>Availability and sharing of sufficient information.</p> <p>Guaranteed financing during and after project closure, providing sustainability to the actions and adaptive processes initiated.</p> <p>Empowerment of relevant stakeholders.</p>	<ul style="list-style-type: none"> <li>• Preparatory elements for NAP to develop a knowledge base and formulate the NAP in place.</li> <li>• NAP implementation facilitated.</li> <li>• Mechanisms for Reporting, Monitoring and Review of NAP and adaptation progress in place.</li> </ul>

**Stakeholder engagement:** The following diagram contains the identification of key partners and stakeholders, divided into four categories, and includes strategies for ensuring the participation and engagement of such actors.



Source: self-elaboration, 2018.

Additionally, the project will be conducted through consultations at the national and local levels to guarantee a participative approach and prevent the building of social problems and secure participation. Moreover, the project will build the capacities of decision-makers at different levels to measure and evaluate the exposure of communities to climate-related hazards for the integration of these risks into planning and budgeting.

The project does not include the construction of any infrastructure and will focus on soft interventions, including capacity-building activities, studies/analysis/assessments preparation, sensitization interventions and policy development support, having minimal to no negative impact on the environment. These activities are expected to strengthen the understanding of the challenges and impacts climate change will have on the economy and the development of the country and therefore, incentivize the national identification and development of adaptation initiatives – including projects, programmes, policies, strategies, etc. Specific care will be given to highlighting the need for extensive consultations and thorough studies and assessments to avoid any social and environmental negative impacts due to the inadequate and deficient future adaptation interventions.

#### Sustainability and Scaling Up:

Once the project is concluded, the country's institutional framework associated with climate change adaptation and development planning will have been significantly strengthened, and enabling tools will be available to support national efforts to reduce vulnerability and climate risk.

The foregoing implies, first of all, that from the highest authority of development planning at the national level there is sufficient political will and technical and operational capacities to lead and sustain the integration process of adaptation in the sectoral and local entities management. In addition, it is essential that political and technical support also be maintained from the NDA, sectoral ministries and other relevant actors.

In parallel, sectoral institutions, GADs, civil society, academia and priority attention groups will have information, regulations, trained personnel and relevant tools that facilitate the generation of adaptive initiatives with clear possibilities of accessing national and international financing (different and additional to the GCF financing that allows the development of this project).

#### Key risks:

Key risks that can threaten the achievement of results through the chosen strategy and the assumptions on which the project results depend are included in Annex F (Log Risk).

Given the characteristics and scope of the project, no social or environmental impacts are expected as a consequence of its implementation.

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## V. PROJECT MANAGEMENT

**Project management:** The project will be operationalized from an office inside the dependencies of the Ministry of the Environment (National Designated Authority). The operational costs of operating this office, in terms of rental costs and basic services (electricity, potable water, internet, etc.), will constitute a national counterpart contribution.

The Project Manager is in charge of the day-to-day execution of the project and coordination with the Government counterpart and ensures timely deliverables of all technical experts, so that the expected outputs are reached.

The NAP process asserts a gender responsive approach in CCA planning and budgeting and recognizes that adaptation cannot be successful without the involvement of all the Ecuadorians, in particular women, who are the main actors of the education of future generations. During the implementation process, gender concerns will be brought to the forefront through: (i) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (ii) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; and (iii) the development support, evaluation and selection of gender-responsive initiatives for further implementation.

The NAP project will build on other enabling activities in Ecuador, including the Green Climate Fund Readiness Project and the Nationally Determined Contributions (NDC) support programme<sup>27</sup>.

The sustainability of this project will be ensured through the establishment of a country-driven methodology and the institutionalization of the NAP process through corresponding normative instruments, as well as through the creation and strengthening of national capacity to ensure a continuous generation, processing, interpretation and systematic storage of current and future climate data. The Ministry of Environment will arrange for maintaining the technical material, capacity building packages and other products from this project, and will arrange for relevant entities (such as universities) to continue delivering and updating the training after the project has ended. The development and implementation of a financial strategy should lead to the access to and creation of future funding sources, and the participation of relevant counterparts and stakeholders (public and private actors) in funding of NAP activities in the future, including updating climate information.

**Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:** To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP and MAE logos on all promotional materials, other written materials like publications developed by the project, and project hardware.

Given that the guidelines on the MAE institutional image (e.g., use of the logo) can be updated, it will be necessary to have periodically feedback from the respective administrative unit.

Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>28</sup> and the relevant GCF policy.

**Disclosure of information:** Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>29</sup> and the GCF Disclosure Policy<sup>30</sup>.

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<sup>27</sup> The NAP project is complementary to the GCF Readiness Project and the NDC – Support Programme that are being implemented and that have, respectively, the purpose of strengthening the processes of climate change management and supporting the formulation process of Ecuador's NDC.

<sup>28</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>29</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>30</sup> See [https://www.greenclimate.fund/documents/20182/184476/GCF\\_B.12\\_24\\_-](https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-)

## VI. PROJECT RESULTS FRAMEWORK

As per section VII below, the Project Board will review and agree on the results framework and finalize the indicators, means of verification and monitoring plan during the inception workshop.

### SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK

Please complete the table below, which enables a country to assess its capacity and set targets for advancing its NAP, including proposed outcomes and activities to improve the country's institutional capacity to achieve key objectives of NAP.

OUTCOMES AND SUB-OUTCOMES	BASELINE	TARGET	ACTIVITIES <i>(including key deliverables<sup>31</sup> where applicable)<sup>32</sup></i>
1. National mandate, strategy and steering mechanisms are in place and gaps are assessed and addressed	3-6	6-6	
1.1 Establish a methodology and institutional coordination process for the development, implementation and review of NAP.	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>1.1.1 Design and establish through normative instruments (e.g. ministerial agreements) a specific and detailed methodology that guides the preparation and future revisions of the NAP, to be steered by the Inter-Institutional Committee on Climate Change (ICCC). This methodology will be developed through workshops, official consultations and other<sup>33</sup> participatory and gender-responsive coordination mechanisms steered by the NDA's office and will enable the institutionalization of the NAP process.</p> <p><b>Deliverable:</b> Methodology for the preparation and future revisions of the NAP / <b>Available:</b> October 2019</p> <p>1.1.2 Establish institutional integration mechanisms for the coordination of the NAP, taking into account the structure and sectoral priorities established by the NSCC, and ensuring participation of all relevant stakeholders. Priority will be given to the participation of women groups and indigenous people in consultation processes and under a gender focus that will be carried out during NAP construction. Existing and other emerging mechanisms and bodies will be used (e.g., ICCC, Citizen Councils, Sectoral Working Groups related with the NAP process and other Working Groups that are being established for the Nationally Determined Contribution (NDC) construction phase).</p> <p><b>Deliverable:</b> Validated document describing coordination mechanisms for NAP development and implementation (management arrangements) / <b>Available:</b> October 2019</p>

<sup>31</sup> For each activity mentioned in this logical framework correspond different deliverables, all of them detailed in Annex D of this document (comments column). Each deliverable will be available in different date (for more detail see Annex C of this document).

<sup>32</sup> All deliverables generated during the NAP process will be reported periodically through monthly and quarterly reports, that are part of the continuous monitoring of the UNDP CO in Ecuador projects portfolio. The CO asks to every Project Unit to prepare the mentioned reports where deliverables and milestones are included with links to direct download and posterior report into UNDP corporate platforms. In addition, another periodic reporting system for the implementation of the NAP will be the annual reports described in this document, through which the progress of the NAP and the environmental and social risk management plans will be monitored.

<sup>33</sup> One of these participatory mechanisms is the creation of Sectoral Working Groups (mentioned in numeral VIII of this document), one for each prioritized sector by the NCCS. The prioritization of participants for these groups will be done through a selection process that begins with an open call to public and private institutions, cooperation agencies, UN agencies, universities, public research institutes, NGOs, etc. to present their interest to be part of the NAP process in Ecuador. The selection panel of these working groups will be led by the GCF National Designated Authority, in coordination with the respective Sectoral Ministry and UNDP, and it will be carried out based on previously defined and agreed technical criteria approved by the NAP Steering committee.

<p>1.2 Stocktake and assess gaps impeding adaptation planning, in climate information and analyses, technical capacity and skills at sectoral, territorial and local levels</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>1.2.1 Perform a comprehensive inventory with a proper analysis of the shortcomings and gaps of the social, economic and environmental information using a gender responsive focus necessary for preparing assessments of vulnerability and climate risk in the 6 prioritized sectors established by NCCS: i) food sovereignty, agriculture, aquaculture and fisheries; ii) productive and strategic sectors<sup>34</sup>; iii) health; iv) water patrimony; v) natural heritage; and vi) human settlements. The inventory will be complemented with an assessment of available climate studies with focus on: a) a comparative study of their respective potentials to be used as inputs in the modeling of climate change impacts at the sectoral, territorial and local levels (useful in climate risk analysis); and b) a technical document with recommendations on complementary climate studies required.</p> <p><b>Deliverable:</b> Inventory of shortcomings and gaps of the social, economic and environmental information to prepare the assessments of vulnerability and climate risks / <b>Available:</b> December 2019</p> <p>1.2.2 Compile relevant experiences (from past and ongoing initiatives) of CCA actions in the six prioritized sectors that have been integrated (directly or indirectly) by ministries or GADs (sub-national governments) in development planning at territorial or local level. Additionally, complement these with information about other experiences relevant to CCA management in Ecuador (e.g. PRAA, PACC, REDD+, Ecuador NDC and other projects). This exercise will particularly attempt to synthesize lessons learned and best practices related to the private sector participation as well the incorporation of gender focus considerations and the effective participation of indigenous people in developed adaptive and/or consultation processes could be identified.</p> <p><b>Deliverable:</b> Report/Compilation of relevant experiences of CCA actions / <b>Available:</b> December 2019</p> <p>1.2.3 Analyse strengths, weaknesses (including technical skills) and resources needed to integrate climate change adaptation into current and in future processes of development planning at sectoral, territorial and local levels (defined by NDP and oriented by SENPLADES through technical guidelines) as well as in policies, programs and projects of the six prioritized sectors, including planned private sector initiatives.</p> <p><b>Deliverable:</b> Technical analysis of strengths, weaknesses and resources needed to facilitate the integration of CCA into development planning processes / <b>Available:</b> December 2019</p> <p>1.2.4 Design a proposal to strengthen and update the technical capacities of the National Institute of Meteorology and Hydrology (INAMHI) with the aim to generate better climate data and relevant studies of climate change. The proposal will include a focus on training, equipment, and improvements in the processes of gathering and processing information.</p> <p><b>Deliverable:</b> Proposal to strengthening the technical capacities of INAMHI / <b>Available:</b> May 2020</p>
<p>1.3 Design and deliver a communication, awareness raising and training strategy for key actors linked to the integration of climate change adaptation into development planning at sectoral, territorial and local level.</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>1.3.1 Develop and implement a communication and awareness-raising strategy for relevant partners (i.e. technical and political focal points of ministries of the six prioritized sectors) and other key stakeholders (civil society delegates, local professional associations, private-sector staff, NGO personnel, academics and researchers, local governments, indigenous communities, private producer associations, women groups, etc.) linked to the NAP<sup>35</sup>. This strategy will be constructed through a participative and gender responsive process oriented to emphasize the importance of integrating CCA into development planning as an effective instrument to increase resilience; as well as to institutionalize the NAP process in the country.</p>

<sup>34</sup> The NSCC has taken into account the classification of productive sub-sectors, based on the National Accounts of the Central Bank, where the following sub-sectors are identified: 1) Agriculture and fisheries, 2) Agro-Industrial and Manufacturing, and 3) Services. At the same time the strategic sectors that are considered for the NSCC are: 1) Infrastructure, 2) Hydroelectric Production (Ref: NSCC)

<sup>35</sup> Including those selected as members of the Sectoral Working Groups, as indicated in 1.1.1.

			<p><b>Deliverable:</b> Communication and awareness-raising Strategy (document) for integrate CCA into development planning processes / <b>Available:</b> May 2020</p> <p>1.3.2 Design and implement a training programme to strengthen the skills of technical staff (at least 100 public and private Technical staff) related to the integration of adaptation into development planning processes at the sectoral, territorial and local levels. This programme will be developed building upon the results of Activity 1.2.3 and in sets of workshops with national coverage, <i>ensuring gender responsive focus and participation of indigenous populations</i>, and will also be part of the NAP institutionalization process.</p> <p><b>Deliverable:</b> Training modules available, and at least 3 training workshops delivered/ <b>Available:</b> by May 2020</p>
2. Preparatory elements for the NAP process are in place.	3-10	9-10	
2.1 Generate technical documents and additional climate studies for Ecuador.	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>2.1.1 Analyse available climate indices (related to extreme meteorological events) and climate trends (related to climate variability and change) to make short- and medium-term climate forecasts, useful for a precise identification of short- and medium-term climate impacts at sectoral, territorial and local levels, which would in turn allow the definition of climate change adaptation actions to be included in the NAP.</p> <p><b>Deliverable:</b> Climate indices &amp; climate trends for Ecuador continental territory – validated / <b>Available:</b> March 2020</p> <p>2.1.2 Develop and apply a technical methodology for prioritization of specific zones (at least one specific geographical zone for each prioritized sector) based on sectoral needs, socio-economic scenarios, gender responsive focus and the information generated through the Sub-Outcome 1.2. These prioritized zones will be useful for preparing studies of regionalization of climate projections (ref. 2.1.3) that provide key information to make long-term climate “forecasts” for the subsequent identification and prioritization of long-term climate impacts at sectoral, territorial and local levels.</p> <p><b>Deliverable:</b> Technical methodology for prioritization of geographical zones &amp; six (at least) prioritized zones / <b>Available:</b> March 2020</p> <p>2.1.3 Generate six downscaled climate projections (one for each prioritized sector) based on Activity 2.1.2, that allow the identification and categorization of climate hazards for each sector and the subsequent identification and prioritization of the respective CCA actions.</p> <p><b>Deliverable:</b> Six downscaled climate projections (regionalization studies) / <b>Available:</b> September 2020</p>
2.2 Perform vulnerability and climate risk studies at territorial and sectoral scales including assessments of impacts and generation of adaptive responses.	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>2.2.1 Produce six sectoral Vulnerability and Climate Risk studies (one for each prioritized sector) including assessments of climate change impacts in the medium and long term, using software models. These will be based on the information generated by Activities 2.1.2 and 2.1.3. Additionally, these studies will include the formulation of sets of CCA options (at the sectoral level) that will be integrated in the NAP document. In all cases, these studies will be carried out with the support of Sectoral Working Groups (with the main roll of feedback) making sure to include gender and indigenous peoples’ considerations into formulated actions. The studies will include assessing climate risks and impacts on vulnerable groups (e.g. women and indigenous peoples’) as well as some of it major livelihoods and economic activities.</p> <p><b>Deliverable:</b> Six sectoral vulnerability and climate risk studies / <b>Available:</b> June 2021</p> <p>2.2.2 Generate one territorial Vulnerability and Climate Risk study with national coverage that includes an assessment of</p>

			<p>short- and medium-term impacts of climate threats. This study will use the information generated by Activity 2.1.1 and will establish adaptation actions typologies<sup>36</sup> and CCA action profiles at territorial and local levels (at least 10 actions) to be included in the NAP. These typologies and adaptation action profiles will be developed with inputs from and consultation with local stakeholders (key informants, private sector delegates and other relevant actors) and Sectoral Working Groups, making sure to include gender and indigenous peoples' considerations into the formulated actions.</p> <p><b>Deliverable:</b> Territorial vulnerability and climate risk study / <b>Available:</b> March 2020</p>
2.3 Develop valuation studies of climate change adaptation options	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<p>2.3.1 Prioritize, appraise and evaluate CCA options emanating from Activities 2.2.1 and 2.2.2 (to be selected and prioritized applying the criteria developed in Activity 3.1.1), considering the following aspects: i) cost analysis of non-adaptive options; ii) cost analysis of the social, economic and environmental benefits of adaptation; iii) cost analysis of adaptation actions to be implemented (selected in consideration of CCA actions identified in Activities 2.2.1 and 2.2.2 and applying the prioritization criteria indicated in Activity 3.1.1); and iv) gender. In all cases, these analyses will be carried out with the support of Sectoral Working Groups (with the main roll of feedback) making sure to include gender and indigenous peoples' considerations.</p> <p><b>Deliverable:</b> Climate Change Adaptation actions appraised and prioritized / <b>Available:</b> July 2021</p>
2.4 Formulate and communicate an overarching NAP document that takes into account Sectoral and Sub-National considerations.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>2.4.1 Formulate a draft National Adaptation Plan, structured as follows: i) diagnostics drawn from the studies/analysis of Outcome 1; ii) climate, vulnerability and climate risk baseline scenario drawn from Sub-Outcomes 2.1 and 2.2; iii) prioritized adaptation options based on Sub-Outcomes 2.2 and 2.3; iv) NAP building process<sup>37</sup> that includes the identification of key stakeholders, beneficiaries, responsible, deadlines, budgets, funding, etc.; v) implementation arrangements drawn from Sub-Outcome 3.2; vi) enabling instruments for the NAP process based on Sub-Outcomes 2.5, 3.1, 3.2, 3.3; vii) implementation strategy drawn from Sub-Outcome 3.4; viii) NAP MRV system and dissemination strategy drawn from Sub-Outcomes 4.1 and 4.2; and, ix) funding and sustainable strategy drawn from Sub-Outcome 5.1.</p> <p><b>Deliverable:</b> National Adaptation Plan – Draft Version / <b>Available:</b> November 2021</p> <p>2.4.2 Undertake a participatory process involving sectoral and local stakeholders, including women's groups, community-based organizations, environmental and social non-governmental organizations as well as the private sector to validate the draft NAP. This process will include very extensive consultations to guarantee a participative and gender-responsive approach, ensure the participation of private sector, academics and indigenous populations, and prevent the build-up of adverse social and environmental implications.</p> <p><b>Deliverable:</b> Consultation reports and revised version of the National Adaptation Plan including inputs by relevant actors / <b>Available:</b> by December 2021</p> <p>2.4.3 Compile and finalise the NAP integrating review comments. The final NAP document will be included as the main input for the adaptation chapter in the Fourth National Communication expected to start in 2019.</p> <p><b>Deliverable:</b> National Adaptation Plan (final version) / <b>Available:</b> December 2021</p>

<sup>36</sup> In Ecuador, the term is used to differentiate between various kinds of CCA actions. In this context, some examples of CCA actions types are: i) Regulatory (laws, regulations, decrees); ii) Physical (works, ecosystems restoration, equipment installation); iii) Organizational (training, strengthening, experiences exchange); iv) Information (dissemination, awareness, communication, data generation); v) Research (scientific studies, processing and interpretation of climate data); vi) Monitoring (early warning systems, impact measurement, measure of adaptation actions effectiveness); etc.

<sup>37</sup> The information gathered during the NAP inception workshop, it was held in February 2017, will be taken as a starting point.

2.5 Prepare guidelines for the vertical integration of CCA into development planning at the territorial and local scales.	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>2.5.1 Develop three technical guidelines and/or regulations to integrate climate change adaptation into development planning (one guideline for each level of local government). These instruments will be developed in inter-institutional articulation procedures between MAE, SENPLADES and the support of the Sectoral Working Groups of the six prioritized sectors, with the final purpose of facilitating the integration of CCA in subnational development planning processes. This Activity will complement other CCA current initiatives such as that undertaken by SENPLADES to incorporate the climate change dimension into development and land use plans, and the one initiated by MAE to impulse the formulation of specific climate change plans at local level.</p> <p><b>Deliverable:</b> Three Technical Guidelines to integrate CCA into development planning processes / <b>Available:</b> March 2021</p>
<b>3 NAP process is facilitated and started.</b>	<b>1-8</b>	<b>8-8</b>	
3.1 Define criteria for the prioritization of climate change adaptation actions.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>3.1.1 Develop a list of prioritization criteria for CCA options (including multi criteria tools with a strong emphasis on gender<sup>38</sup>). The prioritization criteria will be carried out with the support of the Sectoral Working Groups (with the main roll of feedback), ensuring that it includes gender and indigenous peoples' considerations, as well the private sector engagement to participate in the implementation of CCA actions.</p> <p><b>Deliverable:</b> Prioritization criteria list for CCA actions / <b>Available:</b> June 2021</p>
3.2 Elaborate an implementation strategy for the identified adaptation options, joint activities with other ongoing adaptation initiatives (at national and international scale) and promote the sustainability of the adaptation processes.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>3.2.1 Develop an implementation strategy to carry out the prioritized adaptation options (prioritized through Activity 2.3.1) and for identifying synergies (at national and sub-national levels) that complement and provide sustainability to the NAP process. The strategy will be developed in coordination with sectoral ministries and other relevant stakeholders (through specific inter-ministerial/institutional arrangements defined through Sub-Outcome 1.1) by planned participation and discussion spaces (such as those that will be constituted for the Sectoral Working Groups, as mentioned in Activity 1.1.1). This strategy also aims to incorporate the adaptation dimension into other planned sectoral actions which will increase the expected impact of the NAP because sectoral budgets will be added for the design and implementation phases of CCA selected options.</p> <p><b>Deliverable:</b> Implementation strategy for prioritized adaptation actions / <b>Available:</b> October 2021</p>
3.3 Generate technical documents for the horizontal integration of climate change adaptation into development planning at the sectoral levels.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>3.3.1 Generate six technical standards relevant to the six prioritized sectors to integrate climate change adaptation into development planning processes at the sectoral level. These technical standards will provide technical data, recommendations and other inputs useful for the design and implementation of sectoral programmes and projects, and they will be developed in a participative manner with the support of the Sectoral Working Groups (with the main roll of feedback), ensuring the inclusion of gender and indigenous peoples' considerations.</p> <p><b>Deliverable:</b> Six technical standards to facilitate the integration of CCA in sectoral development planning processes / <b>Available:</b> June 2021.</p>

<sup>38</sup> The Under Secretariat of Climate Change has obtained the UNDP Low Emission Capacity Building Programme support to mainstream gender in the design, construction and planning process of the NDC of Ecuador. This support will be used during the NAP process as well, considering that this instrument will contribute to the NDC of Ecuador.

			<p>3.3.2 Develop two technical guidance documents on: i) adaptation options' typologies<sup>39</sup>; and ii) relevant aspects of CCA options design<sup>40</sup>. These instruments will provide theoretical definitions, practical recommendations and examples for the main adaptation actions typologies (different kinds of CCA actions in each prioritized sector) and key aspects of their design (i.e. engineering adaptive solutions against the potential impacts of seasonal flow variations on the infrastructure or the operations of projects in the water sector). These documents will be used by technical staff, academics, consultants and other people connected to the phases of design and implementation of CCA options at sectoral, territorial and local levels, and they will be developed with the support of the Sectoral Working Groups (with the roles of feedback and approval), ensuring the inclusion of gender and indigenous peoples' considerations. This activity will complement other planned CCA initiatives, such as the one that will be undertaken by CONGOPE to generate useful technical documents for the design of climate change provincial strategies, and will provide specific inputs for other relevant initiatives at sectoral level like the formulation and implementation of the NDC (adaptation chapter).</p> <p><b>Deliverable:</b> Two Technical Guidelines to facilitate the design and implementation of CCA actions / <b>Available:</b> June 2021</p>
3.4 Identify synergies with other plans, projects and initiatives on climate change adaptation at regional level.	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>3.4.1 Identify synergies with other plans, projects and initiatives of climate change adaptation at regional level (e.g., the Andean region and / or South America), including the drafting of Memoranda of Understanding (MoU) for interaction, exchange and transfer of information/knowledge and technology, etc. The agreements would be signed between the ministries of Ecuador and their counterparts in neighbouring countries or with other competent authorities, as appropriate. Regional agreements will facilitate the development of binational/regional proposals that seek funding for joint CCA actions at the sectoral level.</p> <p><b>Deliverable:</b> Proposal of synergies between NAP &amp; other CCA plans, projects and initiatives (regional level) / <b>Available:</b> October 2021</p>
<b>4 Mechanisms for Reporting, Monitoring and Review of NAPs and adaptation progress in place</b>	<b>0-4</b>	<b>4-4</b>	
4.1 Design indicators and an MRV system for the NAP process effectiveness.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>4.1.1 Develop indicators and a system of measurement, reporting and verification (MRV) of the national adaptation plan effectiveness, to measure: i) the level of integration of adaptation into the development planning at sectoral, territorial and local levels; ii) the increased resilience and / or the reduced vulnerability at the sectoral, territorial and local levels; and iii) gender &amp; indigenous peoples' mainstreaming<sup>41</sup>. This system will include a strategy for collecting data that will feed into the indicators.</p> <p><b>Deliverable:</b> Measurement, reporting and verification (MRV) system for the NAP process / <b>Available:</b> November 2021</p>

<sup>39</sup> This document will use the information generated by 2.2.2 as a first reference.

<sup>40</sup> This document will use the information generated by 2.2.1 and 2.2.2 as relevant inputs.

<sup>41</sup> As mentioned before, with the UNDP Low Emissions Capacity Building Programme the National Determined Contributions (NDC) of Ecuador will mainstream gender, as well as its respective MRV system with specific indicators for its verification. The mentioned indicators can be adapted/extended for the NAP MRV system as well.

4.2 Generate periodic reports on the progress and the results of the NAP process.	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	4.2.1 Prepare and disseminate annual reports (technical documents) on the progress and results of the NAP process.  <b>Deliverable:</b> Annual reports / <b>Available:</b> At the request of the GCF (using the recommended templates)
<b>5 Funding strategy for the NAP and CCA is available</b>	<b>0-2</b>	<b>1-2</b>	
5.1 Define and design a funding and sustainability strategy of the NAP process (Including scaling and replication options).	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	5.1.1 Develop a financing and sustainability strategy for the NAP process (including options for fundraising, scaling and replication) which quantifies the cost of adaptation options included in the NAP, and the identification of elements from the different financial stakeholders (public, private, international cooperation, multilateral agencies, etc.), who could co-finance adaptation activities in Ecuador <sup>42</sup> . This strategy will include a detailed analysis of the alternatives and mechanisms to promote investments from the financial stakeholders, Also, this strategy will include a specific section of economic resources mobilisation options for private sector investments and the identification of coordinated and integrated measures and incentives to create a supportive and enabling environment for adaptation-related private investment, all of it with the final purpose to ensure the engagement of this sector. In addition, the Ecuadorian legal framework of Public & Private Alliances is expected to be applicable.  <b>Deliverable:</b> Financing and sustainability strategy for the NAP process / <b>Available:</b> November 2021
<b>TOTAL</b>	<b>7</b>	<b>28</b>	

<sup>42</sup> It may be considered, among other inputs, the recommendations of the CPEIR -Climate Public Expenditure and Institutional Report for future fiscal budgeting and recommendations in PCEIR – Private Climate Expenditure and Institutional Report for future private budgeting. Also, this strategy will include an analysis of private incentives, alternative financial tools at sectoral, territorial and local levels and other financial mechanisms (including international). In addition, this strategy will propose the building up of international cooperation working tables (by the international cooperation offices in Ecuador) to promote the financing of NAP CCA actions. Other funds that could also be included among the international co-financing options are those related to the implementation of CCA actions that will be part of the conditional contributions will be reported in the Nationally Determined Contribution – Ecuador (availability expected no later than June of 2019).

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## VII. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported bi-annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

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

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project personnel maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop and monitor the annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored bi-annually in time for evidence-based reporting in the Bi-Annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through supervision missions. The supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project management unit and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Bi-Annual Project Report, and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken bi-annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Bi-Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF. The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

**Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.<sup>43</sup> Additional audits may be undertaken at the request of the GCF.

**Additional GCF monitoring and reporting requirements:**

Inception Workshop and Report: A project inception workshop will:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- h) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The inception report must be submitted to the GCF within six months of project start. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

GCF bi-annual Project Report: The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Adviser will provide objective input to the bi-annual project report covering the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored bi-annually in advance so that progress can be included in the report. The APR will include reporting of: environmental and social risks and related management plans, gender<sup>44</sup>, co-financing and financial commitments, amongst other issues.

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<sup>43</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

<sup>44</sup> It must be shown that through the project has made at least one substantive contribution towards addressing gender inequalities that keep women in poverty in the country.

The bi-annual project report will be due for submission to the GCF every 31<sup>st</sup> of January and 31<sup>st</sup> of July, during the duration of the project.

The Bi-Annual Project Report submitted to the GCF will also be shared with the Project Board. The UNDP Country Office will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous semester's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Final Independent Evaluation Report<sup>45</sup>: A final independent evaluation report will be completed by end of project date. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Final Independent Evaluation report is due for submission to the GCF within 6 months after the project completion date.

The Project Manager will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired, using project funds, to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The final evaluation report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan, and will upload the evaluation reports in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

Final Report: The project's final Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

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<sup>45</sup> This independent evaluation must include an analysis on gender mainstreaming. On this subject, it must be shown that the CO, through the project, has made at least one substantive contribution over the last three years related to: i) addressing gender inequalities that keep women in poverty in the country; ii) build resilience of women and reduce structural vulnerabilities, iii) engendering national policy dialogues across sectors. In addition, it must be shown that the CO has collaborated with a key Ministry on a substantive gender issue, at least once during the current Country Program.

**Mandatory GCF M&E Requirements and M&E Budget<sup>46</sup>:**

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>47</sup> (US\$)	Time frame
		GCF grant	
Inception Workshop	UNDP Country Office	None	May 2019
Inception Report	Project Manager	None	June 2019
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	Quarterly, annually
Risk Management	Project Manager Country Office	None	Quarterly, annually
Monitoring of indicators in project results framework (including hiring of external experts, project surveys, data analysis etc...)	Project Manager	None	Annually
GCF bi- Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF Unit	None	Every 6 months
DIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 2,000	Annually or other frequency as per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None	On-going
Project Board meetings	Project Board UNDP Country Office Project Manager	None	At minimum annually
Supervision missions	UNDP Country Office	None <sup>48</sup>	Two per year (as per agreed workplan)
Oversight missions	UNDP-GEF Unit	None	Troubleshooting as needed.
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF Unit	None	To be determined.
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-GEF Unit	None	February 2022
Translation of evaluation reports into English	UNDP Country Office	None	As required. GCF will only accept reports in English.
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<i>USD 6,000</i>	

<sup>46</sup> It is expected that this budget will be focused on results and have a gender-responsive approach.

<sup>47</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>48</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.

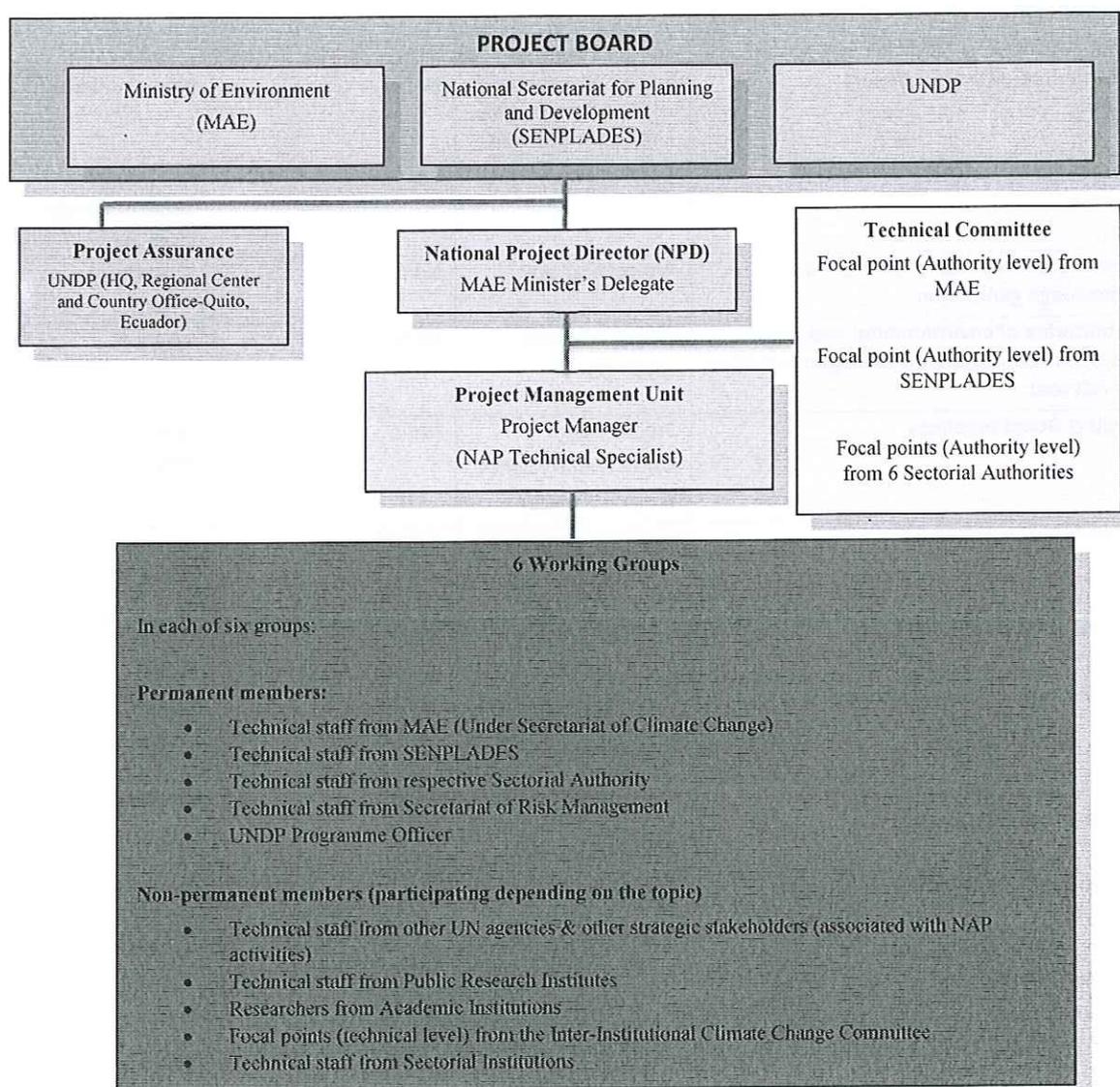
## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's direct implementation modality, according to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.

The project organisation structure- is as follows:

The project will be implemented following UNDP's Direct Implementation Modality (DIM), according to the Readiness and Preparatory Support Grant Framework Agreement between the GCF and UNDP.

The **Project Management Unit** will carry out project implementation, with the support of a Technical and a Financial/Administrative Assistant. The management arrangements for this project are summarized in the chart below:



The implementation of the project will be carried out in full collaboration with and consultation of Ecuador's Ministry of Environment (UNFCCC and GCF Focal Point), and the National Secretariat for Planning and Development. As per the GCF framework readiness and preparatory support grant agreement, the project will be implemented according to the UNDP Direct Implementation Modality. It will be guided by the United Nations Programme / United Nations Development Assistance Framework (UNDAF) for 2015-2018, and UNDP's Country Programme Document (CPD) for 2015-2018 for Ecuador. Guided by the above-mentioned country programme frameworks, the DIM will be applied in a way to consider potentials for maximum cost-effectiveness and tailored capacity development of counterpart government institutions.

The **Project Board** is comprised of the Ministry of Environment (USCC delegate), and the National Secretariat for Planning and Development (a Secretariat delegate). UNDP acts as the Executive. It also provides quality assurance for the project, ensures adherence to the DIM guidelines and ensures compliance with GCF and UNDP policies and procedures. The Project Board<sup>49</sup> is responsible for approving workplans, by consensus, and to provide guidance when it is required by the Project Manager. Project Board decisions will be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. The Project Board will meet twice a year.

The **National Project Director (NPD)** will be appointed by the MAE. He/she will be responsible for orienting and advising the Project Manager on Government policy and priorities. The NPD will be supported by the Advisory Committee and will meet with the Advisory Committee on a quarterly basis to review coherence of the project interventions, including results, risks, planning and procurement processes. The NPD, designated by MAE, will be MAE's National Adaptation of Climate Change Director, he/she will play an active role in the procurement of services and goods (based on annual plans approved by the Project Board) providing direction and guidance to the PM.

The **Project Management Unit**, under supervision of the UNDP and the GCF focal point, will run the project on a day-to-day basis within the constraints laid down by the Project Board. The **Project Manager** function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and submitted to UNDP. The Project Manager is responsible for day-to-day management and decision-making for the project within the Annual Work Plan approved by the Project Board and reviewed by UNDP. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The annual work plan is prepared by the Project Manager and reviewed and approved by Project Board. However, the UNDP-Global Environmental Finance Unit, as part of its quality assurance role, provides the final approval. The Project Manager is also responsible for managing and monitoring the project risks initially identified, and for submitting new risks to the project board for consideration and decision on possible actions if required, and for updating the status of these risks by maintaining the project risks log according to the DIM Guidelines.

The **Project Management Unit** will be based at the Under-Secretariat of Climate Change – MAE. The NAP Technical Specialist will act as **Project Manager** and run the project on a day-to-day basis on behalf of UNDP within the constraints laid down by the Project Board. His/her function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and submitted to UNDP. He/she is responsible for day-to-day management and decision-making for the project. His/her prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. In addition, a UN Volunteer (Gender Specialist) will provide guidance and deliver specific activities of the project (part time).

The **Technical Committee** is composed by Focal Points (Authority Level) from MAE, National Secretariat for Planning and Development and the Sectorial Authorities from six Priority Sectors, and the UNDP Programme Officer. This Committee provide support and guidance to the Project Management Unit in coordination with the NPD.

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<sup>49</sup> Sample ToR for Project Board: [http://cfapp2.undp.org/gef/documents/1/g5710/g2\\_20672/PIMS3603TORProjectBoard.pdf](http://cfapp2.undp.org/gef/documents/1/g5710/g2_20672/PIMS3603TORProjectBoard.pdf)

Six **Working Groups** will be established under the supervision of the Technical Committee with the purpose of monitoring and providing feedback for each of the project outcomes. The Working Groups will be convened by the Project Coordinator at the request of the Technical Committee. The Project Manager will delegate to his team members the elaboration of minutes of each meeting and documentation of the recommendations for implementing each outcome. The meetings of working groups will be carried out under request of the permanent members of each group, or when it will be necessary.

Each one of **Working Groups** are composed by:

**a) Permanent members:**

- Technical staff from MAE (Under-Secretariat of Climate Change)
- Technical staff from SENPLADES
- Technical staff from the respective Sectorial Authority
- Technical staff from Secretariat of Risk Management
- UNDP Programme Officer

**b) Non-permanent members (participating depending on the topic)**

- Technical staff from other UN agencies and other strategic stakeholders (associated with NAP activities)
- Technical staff from Public Research Institutes
- Researchers from Academic Institutions
- Focal points (technical level) from the Inter-Institutional Climate Change Committee
- Technical staff from Sectorial Institutions

**Local stakeholders and community members** have a key role in the implementation and monitoring of the project. During the inception phase of the project, UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, civil society, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

**Technical Assistance:** The UNDP's National Adaptation Plan Global Support Programme, in partnership with UNEP, will extend the support provided already through the ongoing NAP GSP to the Government of Ecuador by delivering additional technical support to overcome capacity gaps, in line with the objectives of the programme. The objective of the programme is to further strengthen the institutional and technical capacities of countries to start and/or advance their NAP process. This will assist in adapting to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The programme objective will be achieved by: i) expanding technical support with tailored one-on-one support; ii) building on the ongoing NAP GSP project to further develop and disseminate tools and methodologies that support important steps of the NAP process; iii) organising targeted training workshops on key elements of the NAP process; and iv) further facilitating the exchange of knowledge and lessons learned – through South-South and North-South cooperation – with a view to enhancing the capacity for advancing the NAP process.

**Project Assurance:** UNDP provides a three – tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. The quality assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance must be independent of the Project Management function; the Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. The project assurance role is covered by the accredited entity fee provided by the GCF. As a Delivery Partner to the GCF, UNDP is required to deliver GCF-specific oversight and quality assurance services including: (i) Day-to-day oversight supervision, (ii) Oversight of project completion, (iii) Oversight of project reporting.

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## IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 2,727,273*. This is financed through a GCF grant of *USD 2,727,273*. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

GCF Disbursement schedule: Disbursement request will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the "Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Framework Agreement, "the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02.

Budget Revision and Tolerance: Budget variations in each of the project's Outcomes may not exceed a 10% variation. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should a deviation beyond 10% per Outcome be needed, UNDP will seek approval from the GCF before revising the budget.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>50</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed.

Transfer or disposal of assets: In consultation with the Partners and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>51</sup>.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP has closed the accounts for the project; c) UNDP has certified a final Combined Delivery Report (which serves as final budget revision).

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<sup>50</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

<sup>51</sup> See

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

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

## X. TOTAL BUDGET AND WORK PLAN

General Notes to prepare the budget:

Atlas Proposal or Award ID:	00101840	Atlas Primary Output or Project ID:	00104102
Atlas Proposal or Award Title	National Adaptation Plan (NAP) to advance medium and long-term adaptation planning in Ecuador		
Atlas Business Unit	ECU10		
UNDP GEF PIMS NO	6075		

GCF Readiness NAP Outcome	Resp. Party	Fund ID	Donor Code/ Name	ATLAS Account Code	ATLAS Budgetary Account Description	Amount US\$ (year 1)	Amount US\$ (year 2)	Amount US\$ (year 3)	Total Amount US\$	See budget note: *
GCF NAP Ecuador Outcome 1	UNDP	66001	12526 Green Climate Fund	71200	International Consultants	45,000.00	0.00	0.00	45,000.00	1
				71300	Local Consultants	25,000.00	0.00	0.00	25,000.00	2
				71400	Contractual Services - Individuals	12,056.00	0.00	0.00	12,056.00	3
				72100	Contractual Services- Companies	228,000.00	0.00	0.00	228,000.00	4
				71600	Travel **	15,750.00	0.00	0.00	15,750.00	5
				72500	Supplies	500.00	0.00	0.00	500.00	6
				74200	Audio Visual & Print Prod Costs	4,000.00	0.00	0.00	4,000.00	8
				75700	Training, Workshops and Conferences ***	21,000.00	0.00	0.00	21,000.00	9
<b>Total Outcome 1</b>					<b>351,306.00</b>	<b>0.00</b>	<b>0.00</b>	<b>351,306.00</b>		
GCF NAP Ecuador Outcome 2	UNDP	66001	12526 Green Climate Fund	71300	Local Consultants	0.00	75,000.00	0.00	75,000.00	10
				72100	Contractual Services- Companies	300,000.00	512,500.00	608,096.00	1,420,596.00	11
				71400	Contractual Services - Individuals	36,169.00	36,169.00	36,169.00	108,507.00	3
				71500	UN Volunteers	17,782.00	17,782.00	17,782.00	53,346.00	12
				71600	Travel **	6,750.00	6,750.00	4,500.00	18,000.00	13
				72500	Supplies	500.00	1,000.00	1,000.00	2,500.00	6
				74200	Audio Visual & Print Prod Costs	4,000.00	4,000.00	4,000.00	12,000.00	8
				75700	Training, Workshops and Conferences ***	9,000.00	9,000.00	6,000.00	24,000.00	14

Total Outcome 2						374,201.00	662,201.00	677,547.00	1,713,949.00	
GCF NAP Ecuador Outcome 3	UNDP	66001	12526 Green Climate Fund	71300	Local Consultants	0.00	60,000.00	30,000.00	90,000.00	15
				71400	Contractual Services - Individuals	0.00	24,113.00	12,056.00	36,169.00	3
				72100	Contractual Services- Companies	0.00	70,000.00	70,000.00	140,000.00	16
				71600	Travel **	0.00	9,000.00	17,250.00	26,250.00	17
				72500	Supplies	0.00	1,000.00	500.00	1,500.00	6
				74200	Audio Visual & Print Prod Costs	0.00	4,000.00	2,000.00	6,000.00	8
				75700	Training, Workshops and Conferences ***	0.00	12,000.00	9,000.00	21,000.00	18
Total Outcome 3						0.00	180,113.00	140,806.00	320,919.00	
GCF NAP Ecuador Outcome 4	UNDP	66001	12526 Green Climate Fund	71300	Local Consultants	0.00	0.00	30,000.00	30,000.00	19
				71400	Contractual Services - Individuals	0.00	0.00	12,056.00	12,056.00	3
				71600	Travel **	0.00	0.00	2,350.00	2,350.00	20
				74200	Audio Visual & Print Prod Costs	0.00	0.00	1,000.00	1,000.00	8
				75700	Training, Workshops and Conferences ***	0.00	0.00	3,000.00	3,000.00	21
Total Outcome 4						0.00	0.00	48,406.00	48,406.00	
GCF NAP Ecuador Outcome 5	UNDP	66001	12526 Green Climate Fund	71400	Contractual Services - Individuals	0.00	0.00	12,056.00	12,056.00	3
				72100	Contractual Services- Companies	0.00	0.00	70,000.00	70,000.00	22
				71600	Travel **	0.00	0.00	2,342.00	2,342.00	23
				74200	Audio Visual & Print Prod Costs	0.00	0.00	3,000.00	3,000.00	8
				75700	Training, Workshops and Conferences ***	0.00	0.00	3,000.00	3,000.00	24
Total Outcome 5						0.00	0.00	90,398.00	90,398.00	
Project management costs	UNDP	66001	12526 Green Climate Fund	71400	Contractual Services -- Individuals ****	22,032.03	22,032.03	22,032.03	66,096.09	25
				72800	Information Technology Equipment	3,950.00	0.00	0.00	3,950.00	7
				74100	Professional Services	2,000.00	2,000.00	2,000.00	6,000.00	26

Total Project management costs						27,982.03	24,032.03	24,032.03	76,046.09	
Contingency						42,082.97	42,082.97	42,082.97	126,248.91	27
Total operations costs (Outcomes 1+2+3+4+5+contingency)						767,589.97	884,396.97	999,239.97	2,651,226.91	
Total project costs (Operations_Costs + PMC)						795,572.00	908,429.00	1,023,272.00	2,727,273.00	

\* Budget notes are mandatory

\*\* In each workshop we plan for the participation of 15 travelers from different provinces (nationwide), who will need travel expenses. The cost is estimated to be around US\$ 150 (average) per participant and per workshop.

\*\*\* Considering the participatory approach of the NAP process, it is necessary to alternate the workshops venues to ensure the presence of multiple groups of local and sectoral delegates. It's estimated that each workshop will have an average cost of US\$ 3000, including costs of renting the event room, rental of projection and sound equipment, simultaneous translations (occasionally), coffee station, snacks, informative material and others.

\*\*\*\* Costs of project manager and project technical and administrative assistant.

#### Budget Notes:

1.	International Consultant (one) to design a proposal to strengthen and update the technical capacities of the National Institute of Meteorology and Hydrology (activity 1.2.4). Daily fee of 375 USD for 20 working days per month for 6 months.
2.	Refers to 1 (one) Local Consultant to design a methodology and establish an institutional coordination process for the development, implementation and review of NAP (activities 1.1.1 and 1.1.2). Daily fee of 250 USD for 20 working days per month for 5 months.
3.	Refers to service contract of Project Manager (proportional – 38.86) & a technician to provide support in climate change adaptation issues. These specialists will have the functions of providing technical support and advice during the preparation, execution, review and follow-up of all the studies and deliverables that are part of the NAP process. The participation of these technicians during the project implementation is relevant, considering the multiplicity and complexity of studies and other deliverables that will be generated. The technician will also provide other operational aspects of the project (e.g. specific support services required for the hiring processes, workshops and technical meetings, procurement, management documents, keeping the accounting records, etc.). These specialists will have the functions of providing technical support and advice during the preparation, execution, review and follow-up of all the studies and deliverables that are part of the NAP process. The participation of these technicians during the project implementation is relevant, considering the multiplicity and complexity of studies and other deliverables that will be generated.
4.	Consultant company (2 teams) to: i) Perform studies and inventories that allow: to identify limitations on climate risk assessments at national and sub-national level (activity 1.2.1); collect relevant experiences about vulnerability and adaptation on sectorial, territorial and local scale (activity 1.2.2); identify strengths, weaknesses and resources needed to integrate the climate change adaptation into development planning processes (activity 1.2.3); and ii) to design a communication and awareness raising strategy (activity 1.3.1), and a training programme to strengthen the skills of technical staff (activity 1.3.2).
5.	Refers to transportation, accommodation and meals for 105 people (participants nationwide who need interprovincial round trips) who will participate in 7 workshops of Outcome 1 that will take place in Quito (3 workshops), Guayaquil (2 workshops) and Cuenca (2 workshops) – For more reference see Budget Note 9.
6.	Refers to supplies (folders, pens, markers, masking tape, blackboards, etc.) for technical meetings and copies.

7.	Refers to laptops and other technological equipment required for the Project Unit. The equipment includes (3 laptops and 1 printer) and will be used exclusively by the staff of the Project Unit.
8.	Refers to policy brief publications (there is a total 12 policies and each one will have a maximum of 500 copies (average); the costs include design, edition and printing). This publication targets technical officials from public and private sector. It's expected to generate one policy brief for outcome 1, five policy briefs for outcome 2, four policy briefs for outcome 3, one policy brief for outcome 4, and one policy brief for outcome 5. Each publication will be different to the others.
9.	Refers to 7 workshops (4 workshops for Sub-Outcome 1.2 and 3 workshops for Sub-Outcome 1.3) each one with a duration of 1 and half days and 25 participants to present results of studies and inventories for Sub-Outcomes 1.2 and 1.3 and collect key additional information to complement those results. Although workshops from other outputs are complementary, each workshop will have different objectives addressing specific subjects and should be developed individually. For more reference see Budget Note 5.
10.	Local Consultants (three individual consultants) to: i) Develop valuation studies of climate change adaptation actions (activity 2.3.1); ii) Design the NAP (activity 2.4.1); iii) Prepare guidelines and / or regulations to integrate CCA into development planning (activity 2.5.1). Each consultant will work 5 months with a daily fee of 250 USD for 20 working days per month.
11.	Consultant company (7 teams) to: i) Develop six downscaled climate projections (one for each prioritized sector) (activity 2.1.3) and six vulnerability and climate risk analysis at sectorial level (activity 2.2.1). These 6 studies will be developed by six consultant teams (one for each prioritized sector); ii) Analyze available climate indices and climate trends (activity 2.1.1), develop and applicate a technical methodology for "prioritization of specific zones" (activity 2.1.2) and generate one territorial Vulnerability and Climate Risk study with national coverage that includes an assessment of short- and medium-term impacts of climate threats (activity 2.2.2). These 3 additional studies will be developed by another consultant team.
12.	Refers to 1 contract of UN Volunteer (Gender Expert).
13.	Refers to transportation, accommodation and meals for 120 people (travelers nationwide who need interprovincial round trips) who will participate in 8 workshops of Outcome 2 that will take place in Quito (3 workshops), Guayaquil (3 workshops) and Cuenca (2 workshops) – For more reference see Budget Note 14.
14.	Refers to 8 workshops (3 workshops for Sub-Outcome 2.1, 2 workshops for Sub-Outcome 2.2 and 1 workshop for each one of the Sub-Outcomes 2.3, 2.4 and 2.5) each one with a duration of 1 and half days and 25 participants, to present results of studies and inventories of Sub-Outcomes 2.1 & 2.5 and collect key additional information to complement those results. Although workshops from other outputs are complementary, each workshop will have different objectives addressing specific subjects and should be developed individually. For more reference see Budget Note number 13.
15.	Local Consultants (two individual consultants) to: i) Develop a prioritization criteria list for climate change adaptation actions (multi criteria decision support tool) (activity 3.1.1); ii) Develop a proposal of synergies with other plans, projects and initiatives of climate change adaptation at regional level (e.g., the Andean region and / or South America), including Memorandums of Understanding (MoUs) for interaction, exchange and transfer of information/knowledge and technology, etc. (activity 3.4.1). Each consultant will work 6 months with a daily fee of 375 USD for 20 working days per month.
16.	Consultant company (two teams) to: i) Develop a strategy for implementing the prioritized adaptation actions (CCA actions prioritized in 2.3.1) and for identifying synergies (at national and sub-national levels) that complement and provide sustainability to the NAP (activity 3.2.1); and, ii) Generate six (6) Technical Standards to integrate climate change adaptation in development planning process at sectorial scale (activity 3.3.1) and two (2) Technical Documents for: a) adaptation actions typologies; and b) relevant aspects of CCA actions design (activity 3.3.2).
17.	Refers to transportation, accommodation and meals for 90 people (travelers nationwide who need interprovincial round trips) who will participate in 5 Local workshops that will take place in Quito (1 workshop), Guayaquil (2 workshops) and Cuenca (2 workshops) and 1 international workshop of Outcome 3 that will take place in Quito (participants will come from Colombia, Peru and Bolivia) – For more reference see Budget Note 18.
18.	Refers to 5 local workshops (1 workshop for Activity 3.1, 1 workshop for Sub-Outcome 3.2 and 3 workshops for Sub-Outcome 3.3) and 1 international workshop (related to Sub-Outcome 3.4), each one with a duration of 1 and half days and 25 participants. Although workshops from other outputs are complementary, each workshop will have different objectives addressing specific subjects and should be developed individually. For more reference see Budget Note 17.
19.	Local Consultant (one individual consultant) to design a measurement, reporting and verification system of the NAP process effectiveness, based on indicators. The consultant will work 6 months with a daily fee of 250 USD for 20 working days per month.
20.	Refers to transportation, accommodation and meals for 15 people (travelers nationwide who need interprovincial round trips) who will participate in 1 workshop for Outcome 4 to take place in Quito. For more reference see Budget Note 21.
21.	Refers to 1 workshop related to Sub-Outcome 4.1 (with a duration of 1 and half days and 25 participants) to present results of Sub-Outcome 4.1 and collect key additional information to complement those results. Although workshops from other outcomes are complementary, each workshop will have different objectives addressing specific subjects and should be developed individually. For more reference see Budget Note 20.
22.	Consultant Company (one team) to: Define and design a funding and sustainability strategy of the NAP process.

23.	Refers to transportation, accommodation and meals for 15 people (travelers nationwide who need interprovincial round trips) who will participate in 1 workshop to take place in Quito. For more reference see Budget Note 24.
24.	Refers to 1 workshop related to Sub-Outcome 5.1 (with a duration of 1 and half days and 25 participants) to present results and collect key additional information to complement those results. Although workshops from other outcomes are complementary, each workshop will have different objectives addressing specific subjects and should be developed individually. For more reference see Budget Note 23.
25.	Refers to service contract of Project Manager. The prime responsibility of the Project Manager is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and costs. This specialist is needed considering the complexity of the Project, the amount of resources to be managed and the participatory inter-institutional and inter-sectoral approach with which it will be carried out. Please refer to section VIII for better reference of his contract duties and responsibilities.
26.	Audit costs. This amount will be utilized only if the GCF project receives an external audit conducted by a third-party auditor (excluding UN Board of Auditors), or otherwise reprogrammed towards the achievement of the approved activities, in consultation and agreement with the Project Board.
27.	Contingency Costs: contingency will be used only to cover unexpected costs related to activities and that delivery partner will report to the GCF.

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## **XI. LEGAL CONTEXT**

### **Option a. Where the country has signed the Standard Basic Assistance Agreement (SBAA)**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Ecuador and UNDP, signed on January 19<sup>th</sup> 2005. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

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## XII. RISK MANAGEMENT

### Option b. UNDP (DIM)

UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>52</sup> [UNDP funds received pursuant to the Project Document]<sup>53</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

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

- a. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
  - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor

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<sup>52</sup> To be used where UNDP is the Implementing Partner

<sup>53</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

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

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

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

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

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### **XIII. MANDATORY ANNEXES**

- A. GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP
- B. GCF approval letter
- C. Timetable of project implementation (GANTT CHART)
- D. Procurement plan.
- E. Terms of References for Project Board and Project Team.
- F. UNDP Risk Log.
- G. Theory of Change Diagram



**GREEN  
CLIMATE  
FUND**

**COUNTRY PROGRAMMING**

Lcda. Maria Victoria Chiriboga Nielsen  
Under Secretary of Climate Change  
Ministry of Environment  
Calle Madrid 1159 y Andalucia, Quito, 170109  
Republic of Ecuador

Date : 17 July 2018  
Reference : DCP/RAN/2018/308  
Page : 1 of 1

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

Dear Lcda. Chiriboga Nielsen,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Republic of Ecuador, initially submitted on 30 June 2017, in accordance with the terms of the Framework Readiness and Preparatory Support Grant Agreement between the Green Climate Fund and the United Nations Development Programme (UNDP), dated 2 September 2016, amended and restated on 6 March 2018.

The above-mentioned proposal was approved on 11 July 2018 for the amount of USD 3,000,000 for Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador. A copy of the proposal is attached for your reference.

Kindly note that UNDP will send a request for disbursements to the Secretariat so you will be able to begin the implementation.

Please contact us if you have any other questions about your approved proposal or next steps.

Yours sincerely,

Mr. Pa Ousman Jarju  
Director

Enclosure: Readiness Proposal of the Republic of Ecuador

cc: Ms. Adriana Dinu, Executive Coordinator, UNDP-Global Environment Finance, UNDP  
Ms. Rohini Kohli, Lead Technical Specialist, UNDP

**Green Climate Fund**  
Songdo International Business District  
G-Tower, 175 Art Center-daero  
Yeonsu-gu, Incheon 22004  
Republic of Korea

Annex C – Timetable of project implementation

DELIVERABLE (the month of deliverable completion is indicated with a *)	MONTHS																																					
	apr	may	jun	jul	aug	sep	oct	nov	dec	ene	feb	mar	apr	may	jun	jul	aug	sep	oct	nov	dec	ene	feb	mar	apr	may	jun	jul	aug	sep	oct	nov	dec	ene	feb	mar		
YEAR	2019									2020									2021									2022										
Project initial activities			*																																			
Methodology for the preparation and future revisions of the NAP (activity 1.1.1).							*																															
Validated document describing coordination mechanisms for NAP development and implementation (management arrangements) (activity 1.1.2).							*																															
Inventory of shortcomings & gaps of social, economic & environmental information / compilation of relevant CCA actions & experiences / technical analysis of strengths, weaknesses and resources needed to facilitate the integration of CCA into development planning processes (activities 1.2.1, 1.2.2 and 1.2.3).									*																													
Proposal to strengthening the technical capacities of INAMHI (activity 1.2.4)													*																									
Communication and awareness-raising Strategy for integrate CCA into development planning processes (activity 1.3.1) / Training modules available, and at least 3 training workshops delivered (activity 1.3.2)													*																									
Climate indices and climate trends for Ecuador continental territory (activity 2.1.1) / Technical methodology for prioritization of geographical zones & 6 prioritized zones (activity 2.1.2) / Territorial Vulnerability and Climate Risk study (activity 2.2.2).												*																										
Six downscaled climate projections (regionalization studies) (activity 2.1.3)																	*																					
Six sectoral vulnerability and climate risk studies (activity 2.2.1)																												*										
Climate Change Adaptation actions appraised and prioritized (activity 2.3.1).																												*										
NAP - Draft Version (activity 2.4.1)																																			*			
Consultation reports and revised version of NAP including by relevant actors. (activity 2.4.2)																																			*			



Annex D. Procurement Plan

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
1.1	Local Consultant	IC 1.1 Establish a methodology and institutional coordination process for the development, implementation and review of NAP.	\$25,000	RFQ	2Q 2019	National	<b>Deliverables:</b> Methodology that guides to the preparation and future revisions of the NAP (activity 1.1.1).
1.2	International Consultant	IC 1.2 Stocktake and assess gaps impeding adaptation planning, in climate information and analyses, technical capacity and skills at sectoral, territorial and local levels.	\$45,000	RFQ	4Q 2019	International	<b>Deliverables:</b> Proposal to strengthen and update the technical capacities of the National Institute of Meteorology and Hydrology with the aim to generate better climate data and relevant studies of climate change (activity 1.2.4).
1.2	Service Contract	Project coordinator proportional and Technician to provide support in climate change adaptation and specific operational duties (3 years)	\$12,056	Competitive Process	2Q 2019	National	Duties and functions are described in Budget Notes. Full time for 3 years.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
1.2	Contractual Services Companies	IC 1.2 Stocktake and assess gaps impeding adaptation planning, in climate information and analyses, technical capacity and skills at sectoral, territorial and local levels.	\$130,000	RFQ	3Q 2019	National	<b>Deliverables:</b> Comprehensive inventory with a proper analysis of the shortcomings and gaps of the social, economic and environmental information necessary for preparing assessments of vulnerability and climate risk in the 6 prioritized sectors established by NCCS. The inventory will be complemented with an assessment of available climate studies (activity 1.2.1) & Compilation of relevant experiences (from past and ongoing initiatives) of CCA actions in the six prioritized sectors (activity 1.2.2) & Analysis of strengths, weaknesses (including Technical staff's skills) and resources needed to integrate climate change adaptation into current and in future processes of development planning at sectoral, territorial and local levels (activity 1.2.3).
1.2	Travel	Bus tickets	\$2,400	micro purchase	3Q 2019	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 4 workshops of <u>Sub-Outcome 1.2</u> and need to travel from their place of residence to the location where each workshop will be held. See details below in comments column of 1.2 Training.
1.2	Audio Visual & Print Prod Cost	Policy brief publications	\$4,000	micro purchase	3Q 2019	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 1.2</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
1.2	Training	Workshops	\$12,000	RFQ	3Q 2019	National	Refers to 4 workshops (each one with a duration of 1 and half days and 25 local participants) to present results of studies and inventories of <u>Sub-Outcome 1.2</u> and collect key additional information to complement those results. The 4 workshops related with this output are sequential, and will require the participation of sectoral delegates and several key local actors. Each workshop will be developed in different location and date, and all of them are part of the gap identifying process.
1.3	Contractual Services Companies	IC 1.3 Design communication, raising awareness and training strategies for key actors linked to the integration of climate change adaptation into development planning at sectoral, territorial and local level, as well as in others NAP's actions.	\$98,000	RFQ	4Q 2019	National	<b>Deliverables:</b> Communication and awareness-raising Strategy for relevant partners and other key stakeholders linked to the NAP (activity 1.3.1) & Training programme to strengthen the skills of technical staff related to the integration of adaptation into development planning processes at the sectoral, territorial and local levels (activity 1.3.2).
1.3	Supplies	Supplies for workshops and copies	\$500	micro purchase	4Q 2019	National	Refers to office material necessary for the different activities of the Project during 3 years
1.3	Travel	Bus tickets	\$1,800	micro purchase	4Q 2019	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of <u>Sub-Outcome 1.3</u> and need to travel from their place of residence to the location where each workshop will be held. See details below in comments column of 1.3 Training.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
1.3	Training	Workshops	\$9,000	RFQ	4Q 2019	National	<p>Refers to 3 workshops (each one with a duration of 1 and half days and 25 local participants) to train technical staff (under activity 1.3.2) and collect key additional information to complement those results. The 3 workshops related with this output will require the participation of sectoral delegates and several key local actors. Each workshop will be developed in different location and date, and all of them are part of the design process of the communication, awareness raising and training strategy.</p>
2.1	Contractual Services Companies	IC 2.1 Generate technical documents and additional climate studies for Ecuador.	\$512,500	RFQ	4Q 2019	International	<p><b>Deliverables:</b> Six downscaling of climate projections (one for each prioritized sector) based in 2.1.2 and available climate projections, that allow to identify and prioritize climate hazards for each sector and the sub-sequent identification of the respective CCA actions to be included in the NAP (activity 2.1.3). This output will be implemented through six consultancies, each one related to a prioritized sector.</p>

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.1	Contractual Services Companies	IC 2.1 Generate technical documents and additional climate studies for Ecuador.	\$150,000	RFQ	3Q 2019	National	<b>Deliverables:</b> Climate indices and climate trends to make short- and medium-term climate forecasts (activity 2.1.1) & Technical methodology for prioritization of specific zones based on sectoral needs, socio-economic scenarios and the information generated through the activities of output 1 (activity 2.1.2). This study is complemented with the Vulnerability and Climate Risk study indicated in 2.2.2 and will be carried out as part of the same consultancy.
2.1	Service Contract	Project coordinator proportional and Technician to provide support in climate change adaptation and specific operational duties (3 years)	\$108,507	Competitive Process	2Q 2019	National	Duties and functions are described in Budget Notes. Full time for 3 years.
2.1	UN-Volunteer	UN Volunteer (Gender Technician) (3 years)	\$53,346	Competitive Process	2Q 2019	National	
2.1	Travel	Bus tickets	\$1,800	micro purchase	3Q 2019	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of <u>Sub-Outcome 2.1</u> and need to travel from their place of residence to the location where each workshop will be held. See details below in comments column of 2.1 Training.
2.1	Audio Visual & Print Prod Cost	Policy brief publications	\$2,500	micro purchase	3Q 2019	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 2.1</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.1	Training	Workshops	\$9,000	RFQ	3Q 2019	National	Refers to 3 workshops (each one with a duration of 1 and half days and 25 local participants) to present results of studies and technical documents of <u>Sub-Outcome 2.1</u> and collect key additional information to complement those results. The 3 workshops related with this <u>Sub-Outcome</u> are sequential and will require the participation of sectoral delegates and several key local actors. Each workshop will be developed in different location and date, and all of them are part of the generation process of technical document and additional climate studies.
2.2	Contractual Services Companies	IC 2.2 Perform vulnerability and climate risk studies at territorial and sectoral scale including assessment of impacts and generation of adaptive responses.	\$608,096	RFQ	3Q 2020	International	<b>Deliverables:</b> Six sectoral studies of Vulnerability and Climate Risk (one for each prioritized sector) including assessments of climate change impacts in the medium and long terms, using software models. These studies use the information generated by 2.1.2 and 2.1.3 (activity 2.2.1).

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.2	Contractual Services Companies	IC 2.2 Perform vulnerability and climate risk studies at territorial and sectoral scale including assessment of impacts and generation of adaptive responses.	\$150,000	RFQ	3Q 2019	National	Deliverables: Territorial Vulnerability and Climate Risk study with national coverage that includes an assessment of short- and medium-term impacts of climate threats (activity 2.2.2). This study is complemented with the study of climate indices and climate trends to make short- and medium-term climate forecasts indicated in 2.1.1 and will be carried out as part of the same consultancy.
2.2	Travel	Bus tickets	\$1,200	micro purchase	3Q 2020	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 2 workshops of output 2.2 and need to travel from their place of residence to the location where each workshop will be held. See details below in comments column of 2.2 Training.
2.2	Audio Visual & Print Prod Cost	Policy brief publications	\$2,500	micro purchase	3Q 2020	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 2.2</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.2	Training	Workshops	\$6,000	RFQ	3Q 2020	National	<p>Refers to 2 workshops (each one with a duration of 1 and half days and 25 local participants) to present results of studies of <u>Sub-Outcome 2.2</u> and collect key additional information to complement those results. The 2 workshops related with this output will require the participation of sectoral delegates and several key local actors. Each workshop will be developed in different location and date, and all of them are part of the performing process of vulnerability and climate risk studies.</p>
2.3	Local Consultant	IC 2.3 Develop valuation studies of climate change adaptation options.	\$25,000	RFQ	4Q 2020	National	<p><b>Deliverables:</b> CCA actions evaluated and prioritized, considering the following aspects: i) cost analysis of non-adaptation; ii) cost analysis of the social, economic and environmental benefits of adaptation; iii) cost of adaptation actions to be implemented (selected in consideration of CCA actions identified in 2.2.1 and 2.2.2 and applying the prioritization criteria indicated in <u>activity 3.1.1</u>); and iv) gender (<u>activity 2.3.1</u>).</p>

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.3	Travel	Bus tickets	\$600	micro purchase	4Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of Sub-Outcome 2.3 and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 2.3 Training.
2.3	Audio Visual & Print Prod Cost	Policy brief publications	\$2,500	micro purchase	4Q 2020	National	Refers to 1 policy brief related with the deliverables of Sub-Outcome 2.3.
2.3	Training	Workshops	\$3,000	micro purchase	4Q 2020	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present results of studies of Sub-Outcome 2.3 and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the developing process of valuation studies of CCA options.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.4	Local Consultant	IC 2.4 Design the NAP, including a Sectoral level, Sub-National level and the diffusion of the NAP process.	\$25,000	RFQ	2Q 2021	National	<p><b>Deliverables:</b> National Adaptation Plan (draft) structured as follows: i) diagnostic; ii) climatic and vulnerability baseline Scenario; iii) prioritized adaptation actions; iv) NAP building process that includes the identification of key stakeholders, beneficiaries, responsible, deadlines, budgets, funding, etc.; v) implementation arrangements; vi) enabling instruments for NAP process, 3.3; vii) implementation synergies; viii) NAP MRV system and dissemination strategy; and, ix) funding strategy (activity 2.4.1).</p>
2.4	Travel	Bus tickets	\$600	micro purchase	2Q 2021	National	<p>Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of <u>Sub-Outcome 2.4</u> and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 2.4 Training.</p>
2.4	Audio Visual & Print Prod Cost	Policy brief publications	\$2,500	micro purchase	2Q 2021	National	<p>Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 2.4</u>.</p>

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.4	Training	Workshops	\$3,000	micro purchase	2Q 2021	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the NAP draft (under <u>Sub-Outcome 2.4</u> ) and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the formulating process of NAP document.
2.5	Local Consultant	IC 2.5 Prepare guidelines to integrate CCA into development planning at sectoral, territorial and local scale.	\$25,000	RFQ	3Q 2020	National	<b>Deliverables:</b> Three technical guidelines and/or regulations to integrate climate change adaptation into development planning (activity 2.5.1).
2.5	Supplies	Supplies for workshops and copies	\$2,500	micro purchase	3Q 2020	National	Refers to office material necessary for the different activities of the Project during 3 years
2.5	Travel	Bus tickets	\$600	micro purchase	3Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of <u>Sub-Outcome 2.5</u> and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 2.5 Training.
2.5	Audio Visual & Print Prod Cost	Policy brief publications	\$2,000	micro purchase	3Q 2020	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 2.5</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
2.5	Training	Workshops	\$3,000	micro purchase	3Q 2020	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the guidelines of <u>Sub-Outcome 2.5</u> and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the preparing process of technical guidelines.
3.1	Local Consultant	IC 3.1 Define criteria for the prioritization of climate change adaptation actions.	\$45,000	RFQ	1Q 2021	National	<b>Deliverables:</b> Prioritization criteria list for CCA actions (multi criteria decision support tool with a strong emphasis on gender (activity 3.1.1)).
3.1	Service Contract	Project coordinator proportional and Technician to provide support in climate change adaptation and specific operational duties (3 years)	\$36,169	Competitive Process	2Q 2019	National	Duties and functions are described in Budget Notes. Full time for 3 years.
3.1	Travel	Bus tickets	\$600	micro purchase	1Q 2021	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of <u>Sub-Outcome 3.1</u> and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 3.1 Training.
3.1	Audio Visual & Print Prod Cost	Policy brief publications	\$1,000	micro purchase	1Q 2021	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 3.1</u> .
3.1	Supplies	Supplies for workshops and copies	\$1,500	micro purchase	1Q 2021	National	Refers to office material necessary for the different activities of the Project during 3 years

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
3.1	Training	Workshops	\$3,000	micro purchase	1Q 2021	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present criteria list for CCA actions (under <u>activity 3.1.1</u> ) and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the definition process of prioritization criteria.
3.2	Contractual Services Companies	IC 3.2 Elaborate an implementation strategy of adaptation actions, joint actions with others ongoing adaptive initiatives (at national and international scale) and sustainability of the adaptation processes being promoted.	\$70,000	RFQ	2Q 2021	National	<b>Deliverables:</b> Strategy for implementing the prioritized adaptation actions (CCA actions prioritized in 2.3.1) and for identifying synergies (at national and sub-national levels) that complement and provide sustainability to the NAP (activity 3.2.1).
3.2	Travel	Bus tickets	\$600	micro purchase	2Q 2021	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of <u>Sub-Outcome 3.2</u> and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 3.2 Training.
3.2	Audio Visual & Print Prod Cost	Policy brief publications	\$1,500	micro purchase	2Q 2021	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 3.2</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
3.2	Training	Workshops	\$3,000	micro purchase	2Q 2021	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the Strategy for implementing the prioritized adaptation actions (under <u>activity 3.2.1</u> ) and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the elaboration process of adaptation options implementation strategy.
3.3	Contractual Services Companies	IC 3.3 Generate technical documents to integrate climate change adaptation into development planning at sectoral, territorial and local levels.	\$70,000	ITB	4Q 2020	National	Deliverables: Six technical standards to integrate climate change adaptation into development planning processes at the sectoral level (one technical standard for each sector prioritized by NCCS) (activity 3.3.1) & Two technical documents for: i) adaptation action typologies; and ii) relevant aspects of CCA action design (activity 3.3.2).
3.3	Travel	Bus tickets	\$1,800	micro purchase	4Q 2020	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of <u>Sub-Outcome 3.3</u> and need to travel from their place of residence to the location where each workshop will be held. See details below in comments column of 3.3 Training.
3.3	Audio Visual & Print Prod Cost	Policy brief publications	\$1,500	micro purchase	4Q 2020	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 3.3</u> .

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
3.3	Training	Workshops	\$9,000	RFQ	4Q 2020	National	Refers to 3 workshops (each one with a duration of 1 and half days and 25 local participants) to present the technical documents of <u>Sub-Outcome</u> 3.3 and collect key additional information to complement those results. The 3 workshops related with this output are sequential and will require the participation of sectoral delegates and several key local actors. Each workshop will be developed in different location and date, and all of them are part of the generation process of technical documents for the horizontal integration of CCA into development planning.
3.4	Local Consultant	IC 3.4 Perform a proposal of synergies with other plans, projects and initiatives of climate change adaptation at regional level.	\$45,000	RFQ	3Q 2021	National	<b>Deliverables:</b> Proposal of synergies with other plans, projects and initiatives of climate change adaptation at regional level (e.g., the Andean region and / or South America), including Memorandums of Understanding (MoUs) for interaction, exchange and transfer of information/knowledge and technology, etc. (activity 3.4.1).
3.4	Travel	Air tickets	\$7,000	micro purchase	3Q 2021	National	Refers to air tickets for 15 people (travellers) who will participate in 1 international workshop of <u>Sub-Outcome</u> 3.4 and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 3.4 Training.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
3.4	Audio Visual & Print Prod Cost	Policy brief publications	\$2,000	micro purchase	3Q 2021	National	Refers to 1 policy brief related with the deliverables of Sub-Outcome 3.4.
3.4	Training	Workshops	\$6,000	RFQ	3Q 2021	National	Refer to 1 international workshop (with a duration of 1 and half days and 25 local participants) to present the Proposal of synergies (under Sub-Outcome 3.4) and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the identification process of synergies with others CCA initiatives at regional level.
4.1	Local Consultant	IC 4.1 Design an MRV system for the NAP process effectiveness, based on indicators.	\$30,000	RFQ	2Q 2021	National	<b>Deliverables:</b> System of measurement, reporting and verification (MRV) for the NAP effectiveness, based on indicators to measure: i) integration level of adaptation into development planning at sectoral, territorial and local levels; ii) resilience increase and / or vulnerability reduction at the sectoral, territorial and local levels; and iii) gender mainstreaming (activity 4.1.1).
4.1	Service Contract	Project coordinator proportional and Technician to provide support in climate change adaptation and specific operational duties (3 years)	\$12,056	Competitive Process	2Q 2019	National	Duties and functions are described in Budget Notes. Full time for 3 years.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
4.1	Travel	Bus tickets	\$600	micro purchase	2Q 2021	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of Sub-Outcome 4.1 and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 4.1 Training.
4.1	Audio Visual & Print Prod Cost	Policy brief publications	\$1,000	micro purchase	2Q 2021	National	Refers to 1 policy brief related with the deliverables of Sub-Outcome 4.1.
4.1	Training	Workshops	\$3,000	micro purchase	2Q 2021	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present results the MRV System of Sub-Outcome 4.1 and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the design process of indicators and an MRV system.
5.1	Service Contract	Project coordinator proportional and Technician to provide support in climate change adaptation and specific operational duties (3 years)	\$12,056	Competitive Process	2Q 2019	National	Duties and functions are described in Budget Notes. Full time for 3 years.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
5.1	Contractual Services Companies	IC 5.1 Define and design a funding and sustainability strategy of the NAP process (Including scaling and replication options).	\$70,000	RFQ	3Q 2021	National	<b>Deliverables:</b> Financing and sustainability strategy for the NAP process (including options for scaling and replication) which quantifies the cost of adaptation actions included in the NAP, and the identification of elements from the public and private sector, international cooperation, multilateral agencies, etc., who could co-finance adaptation actions for NAP (activity 5.1.1).
5.1	Travel	Bus tickets	\$600	micro purchase	3Q 2021	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of <u>Sub-Outcome 5.1</u> and need to travel from their place of residence to the location where this workshop will be held. See details below in comments column of 5.1 Training.
5.1	Audio Visual & Print Prod Cost	Policy brief publications	\$3,000	micro purchase	3Q 2021	National	Refers to 1 policy brief related with the deliverables of <u>Sub-Outcome 5.1</u> .
5.1	Training	Workshops	\$3,000	micro purchase	3Q 2021	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the Financing and sustainability strategy for the NAP process (under <u>Sub-Outcome 5.1</u> ) and collect key additional information to complement those results. This workshop will require the participation of sectoral delegates and several key local actors, and will be developed in Quito. This workshop is part of the design process of a funding and sustainability strategy of the NAP.

Outcome	Atlas Budget Description	General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
PMC	Service Contract	Project coordinator proportional	\$66,096	Competitive Process	2Q 2019	National	Leader of the Project Management Unit. Duties and functions are described in detail in Section 6. Full time for 3 years.
PMC	Information Technology Equipment	<sup>1</sup> Laptops and other technological equipment required for the Project Unit (2 laptops for Project Coordinator and Assistant).	\$3,950	micro purchase	2Q 2019	National	Refers to technology equipment necessary for the NAP team.
PMC	Professional Services	Audit	\$6,000	RFQ	4Q 2019, 4Q 2020, 4Q 2021	National	Refers to the cost of undertaking an audit.

## Annex F - Risk Log

Risk factor	Probability	Impact	Responsible for management	Mitigation action
Information is not available or efficiently shared	Low	Moderate	Project Manager, Technical Advisory Focal Point & Sectoral Working Groups	Continuous coordination and engagement, through the working groups, with key actors during the development of the project.
Political will of key stakeholders is low	Low	Severe	Project Board & NDA	Periodic communication on the importance, benefits and the necessity to maintain the political will that ensures the achievement of the expected results.
Funds to implement the adaptation measures proposed with the NAP project are not available after the project is concluded	High	Severe	Project Board & Sector Working Groups	Timely identification of alternatives in terms of communication, funds/donors and partners that ensure the continuity of the project and do not alter its normal development.
The empowerment and support of relevant stakeholders and engagement of sectoral focal points is not certain	Moderate	Low	Project Manager	Continuous coordination with key actors and periodic communication on the importance and need to maintain technical support that ensures the achievement of the expected results.

### Scale of Potential Impact

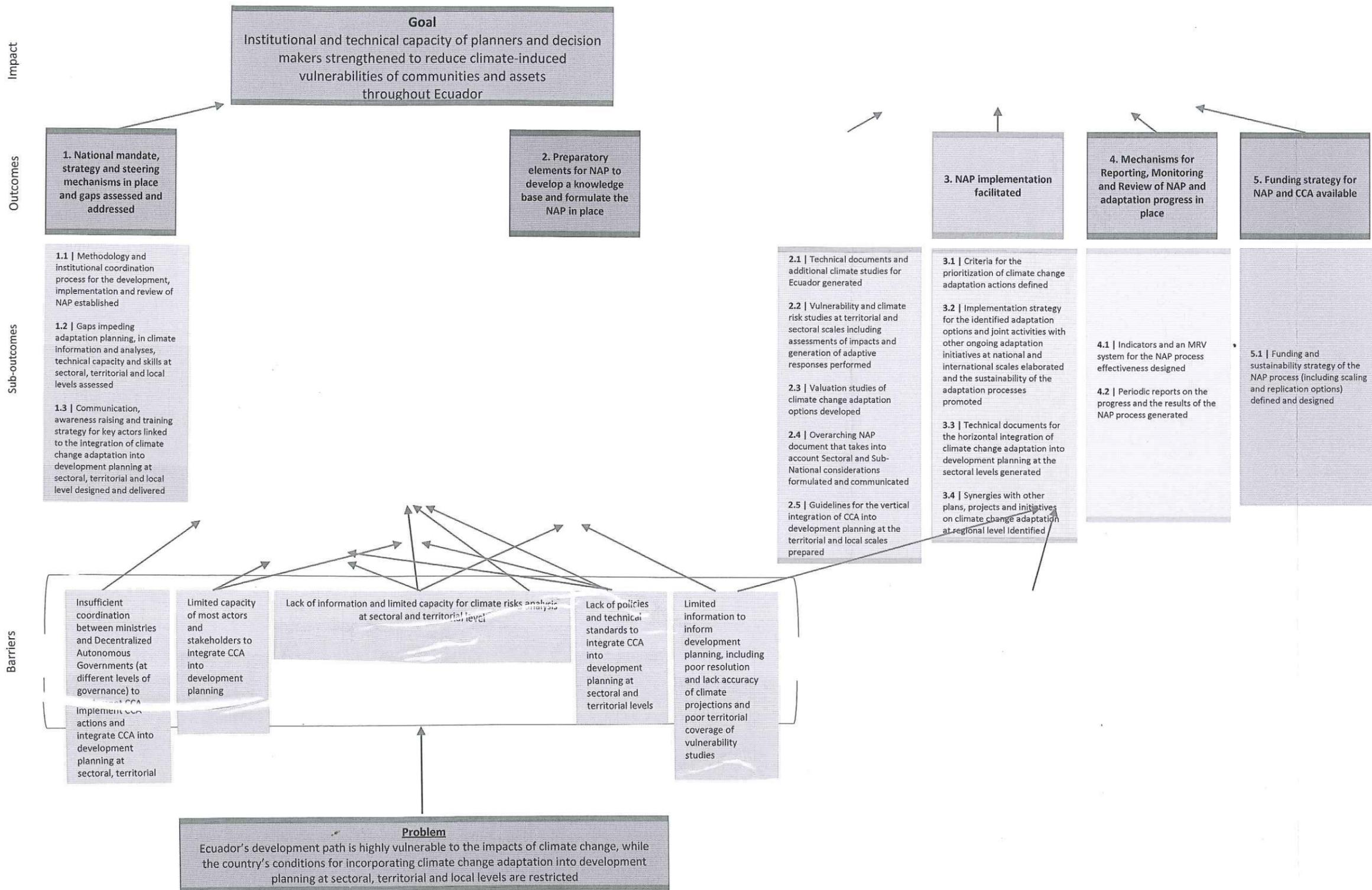
**Low:** is acceptable, normal and raises no unusual issues

**Moderate:** is reason for caution, could be significant but thought to be manageable

**Severe:** is a serious concern that would have significant effect should it arise

**Critical:** is a very considerable concern or intolerable

Annex H – Theory of Change Diagram





MINUTA FECHA: 15 de febrero 2019

REUNION :	Project Approval Committee (PAC) – Plan Nacional de Adaptación	LUGA R	Quito – Ecuador
		COPIA:	PRO/301/PIPELINE
Institución :	Participante:	Firma:	
Ministerio del Ambiente	SA: Stephanie Ávalos, Subsecretaria de Cambio Climático		
	RG: Rosa Ana González, Especialista de Adaptación al Cambio Climático		
	AM: Andrés Mogro, Director Nacional de Adaptación al Cambio Climático (E)		
Cancillería	PR: Pamela Rocha, Directora de Ambiente y Desarrollo Sostenible		
	IB: Irina Barba, Consejera, Dirección de Ambiente y Desarrollo Sostenible		
	NA: Nancy Ampudia, Analista de la Dirección de Cooperación Internacional Bi-Multilateral y Regional.		
PNUD	MA: Mónica Andrade, Coordinadora del Área Ambiente y Energía		
	FG: Fernanda González, Oficial de Programa		
	JN: Jorge Núñez, Consultor		
	MR: Mireia Rivera, Asistente Administrativa Financiera		

Informaciones compartidas

Iniciales de persona	Información/Discusión
SA	Realiza la bienvenida a la reunión y menciona la importancia de este proyecto y el proceso de construcción participativo
MA	Agradece al Ministerio y a Cancillería por el espacio. Menciona que este proyecto se implementa bajo la modalidad directa (DIM por sus siglas en inglés) en estrecha coordinación con el MAE y SENPLADES, quienes forman parte de la Junta Directiva. Menciona que el propósito de la reunión, según la política de PNUD, es presentar el documento de proyecto para aprobación. Previamente, ya se realizó un PrePAC interno en el PNUD a finales del 2018 donde este quedó aprobado. La propuesta del proyecto fue aprobada en julio de 2018 por el donante (Fondo Verde Climático – FVC), posteriormente se elaboró el Documento del Proyecto (ProDoc) de manera participativa, por lo que nos encontramos en la última fase de aprobación, poniendo a consideración su alcance a las instituciones relevantes (Cancillería y Ministerio del Ambiente).
FG	Realiza una presentación del contexto del proyecto, sus componentes técnicos, duración, presupuesto y arreglos de implementación.

	<p>En base a las consultas al FVC, se realizarán los cambios en el ProDoc respecto a la propuesta de proyecto (PIF por sus siglas en inglés) durante el Taller de arranque.</p> <p>Estos ajustes ya han sido previamente acordados y se refieren a:</p> <ul style="list-style-type: none"> <li>• <b>Arreglos de implementación:</b> La conformación del Comité Directivo, mismo que será conformado por SENPLADES, PNUD y MAE. Como proyecto DIM, el PNUD se establece como agente fiduciario que garantiza la calidad y acompaña la implementación de todo el proyecto. Sin embargo, a pesar de ser un proyecto DIM habrá un punto focal técnico en el MAE con quien se articulará todas las acciones de implementación del proyecto. Se establecerán 6 grupos sectoriales de trabajo con personal técnico gubernamental y no gubernamental.</li> <li>• <b>Presupuesto:</b> Se cuenta con un presupuesto de USD \$3'000.000 para tres años de implementación, se incluirán los costos directos del proyecto (DPC por sus siglas en inglés) en los componentes técnicos del proyecto con un monto de USD \$75.000.</li> </ul>
<b>Discusión</b>	
NA	Consulta acerca de la necesidad de algún tipo de aval por parte de la Cancillería para el inicio de la implementación de este proyecto.
MA	No es necesario ningún aval de parte de la Cancillería más allá de la firma de la Minuta que resultará de esta reunión.
PR	Pregunta si al tratarse de cooperación no reembolsable, sería necesario informar a la Cancillería sobre este proyecto.
AN	El seguimiento que mantiene la Cancillería se realiza a año caído por lo que hasta 2020 no se va a solicitar la información sobre la ejecución de este año 2019. Por otro lado, menciona que se está trabajando en un sistema de validación informático que permitirá reportar estos datos a los distintos proyectos.
SA	Agradece que se mencione este proyecto de sistema de validación para poder trabajar en una articulación con el MRV con el que se va a contar.
PR	Desea averiguar cuál será el mecanismo de monitoreo y evaluación para este Proyecto.
FG	PNUD elabora reportes semestrales para la ventana verde del FVC. Por otro lado, los grupos de trabajo sectoriales que el proyecto habilitará nos permitirán hacer un mejor seguimiento. Así mismo, el Proyecto prevé la realización de una evaluación de medio término y una evaluación final. También, la junta directiva anual tiene la capacidad de hacer el seguimiento de la implementación e incorporar ajustes.
MA	Puntualiza que las evaluaciones finales y de medio término se realizan por consultores externos por lo que se presume la objetividad de las mismas.
	Como resultado de estas evaluaciones se obtienen recomendaciones que constan en una matriz gerencial que se discute, posteriormente, con el Comité Directivo. El PNUD hace seguimiento periódico del avance en la incorporación de estas recomendaciones.

JN	Aclara que en el caso de que fuera necesario incorporar ajustes al Proyecto estos podrían realizarse tras la evaluación de medio término del proyecto.
MA	Dado que el CICC va a ser parte de las mesas de trabajo, consulta cuál va a ser el mecanismo de articulación.
FG	Expresa que se realizará la articulación a través de reuniones específicas en las que los miembros del CICC participarán en el marco de los grupos de trabajo sectoriales de acuerdo al tema en el que estos se especialicen. Además, las mesas de trabajo estarán abiertas a la participación de otros actores.
SA	El CICC debe ser el espacio marco donde se desarrollen todas estas reuniones debido a que es el órgano de alto nivel en materia de Cambio Climático. En este marco se pretende invitar a actores expertos con capacidad consultiva para nutrir a los miembros del CICC y así fortalecer el rol de estos comités.
MR	Añade que se espera que los miembros del CICC sean convocados en el contexto del proyecto para estar estrechamente involucrados en este proceso.
FG	Destaca el papel de Jorge Núñez, consultor a cargo de la construcción del ProDoc, encargándose de una coordinación y articulación exitosa entre los actores y, en especial, entre el MAE y PNUD.
PR	Consulta sobre cómo se plantea la sostenibilidad de esta institucionalidad.
FG	Este es el Plan Nacional de Adaptación que va a establecer una estructura que, a su vez, generará todo un sistema de gobernanza a través de los grupos de trabajo sectoriales, quienes participarán en el proceso de diseño de las medidas de adaptación propuestas y sentarán las bases para la posterior implementación. A eso hay que añadir que existe un componente entero destinado a la estrategia de sostenibilidad financiera, y además siempre en todos los proyectos de PNUD trabajamos con estrategias de salida del proyecto para asegurar la permanencia de los resultados después de finalización del proyecto.
JN	Añade que, por otro lado, se obtendrán 2 tipos de resultados: normativas y fortalecimiento de capacidades. De este modo, y con los grupos de trabajo institucionalizados, se dará continuidad a estas dinámicas con un horizonte temporal de hasta al menos el año 2025. Esto se fortalece además por el vínculo con la NDC que se encuentra muy articulado con este proyecto.
SA	Para concluir, observa que este proyecto no es de responsabilidad exclusiva del MAE y el PNUD, y que se busca el involucramiento de los diferentes actores. Desataca la importancia de la intervención de SENPLADES y la necesidad de que se empodere dentro del Comité Directivo. Resalta que NDC está en su etapa de culminación. Por tanto, es necesario un empuje político para situar este tema en la agenda de decisión y la consiguiente asignación de recursos, por tanto, el apoyo de Cancillería será también crucial. Añade que existen algunos temas que aún se pueden fortalecer como es la inclusión del DPC en el presupuesto para completar lo que se acordó. En cuanto al tamaño reducido del equipo de trabajo del Proyecto, se están movilizando recursos para completar el equipo que dará apoyo al NAP. Adicionalmente, respecto del proceso de construcción, cabe destacar que se intentó plasmar lo que establece la Convención.
	<p>Aprecia lo mencionado en cuanto a los mecanismos de monitoreo que va a implementar la Cancillería pues el objetivo ideal sería crear una plataforma que centralice toda la información sobre Cambio Climático, pues la SCC trabaja en el sistema MRV enmarcado en el COA.</p> <p>Concluye apuntando que, más allá de los informes semestrales y evaluaciones</p>



	dentro del proyecto, existen reportes de carácter nacional que obligan al comité estar más implicados en el control y seguimiento del proyecto.
MA	Cuestiona sobre un modo de integrar los distintos reportes de los proyectos para reducir la carga al estar obligados a reportar a distintas entidades. Propone una homologación de formatos y requisitos con este fin y de manera que estos reportes sean herramientas útiles para alimentar las distintas instituciones.
SA	Concuerda en que a nivel interno del MAE también se observa la necesidad de realizar tal proceso para reducir la carga de trabajo y mantener la gobernabilidad.
FG	Recuerda la necesidad de convocar una nueva reunión para tratar la incorporación del DPC en el presupuesto y la revisión de los términos de referencia del equipo de la Unidad de Implementación, para lo que se establece una fecha y hora.
SA	Agradece a los presentes por su participación.
MA	Se consulta la aprobación del Proyecto y los miembros del Comité aprueban unánimemente.