
Readiness Proposal

**with the United Nations Development Programme (UNDP)
for Ecuador**

11 July 2018 | Adaptation Planning



**GREEN
CLIMATE
FUND**

Readiness and Preparatory Support Proposal

How to complete this document?

- A readiness guidebook (URL) is available to provide information on how to access funding under the GCF Readiness and Preparatory Support programme. It should be consulted to assist in the completion of this proposal template.
- This document should be completed by National Designated Authorities (NDAs) or focal points with support from their delivery partners where relevant.
- Please be concise. If you need to include any additional information, please attach it to the proposal.
- Information on the indicative list of activities eligible for readiness and preparatory support and the process for the submission, review and approval of this proposal can be found on pages 11-13 of the guidebook

Where to get support?

- If you are not sure how to complete this document, or require support, please send an e-mail to countries@gcfund.org. We will aim to get back to you within 48 hours.
- You can also complete as much of this document as you can and then send it to countries@gcfund.org. We will get back to you within 5 working days to discuss your submission and the way forward.

Note: Environmental and Social Safeguards and Gender

Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, in particular to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult page 4 of the readiness guidebook for more information.

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SECTION 1: SUMMARY

1. Country submitting the proposal	Country name: Ecuador Name of institution (representing National Designated Authority or Focal Point): Ministry of Environment Name of official: María Victoria Chiriboga Position: Undersecretary of Climate Change Telephone: +593 2 398 7600 Email: maria.chiriboga@ambiente.gob.ec Full Office Address: Madrid 1159 y Andalucía, Quito-Ecuador
2. Date of initial submission	10/04/2017
3. Last date of resubmission (if applicable)	20/02/2018 
4. Which entity will implement the Readiness and Preparatory Support project? (Provide the contact information if entity is different from NDA/focal point)	<input type="checkbox"/> National Designated Authority <input checked="" type="checkbox"/> Delivery partner <input type="checkbox"/> Accredited entity Name of institution: United Nations Development Programme (UNDP) Name of official: Rohini Kohli Position: Lead Technical Specialist Telephone: +66 (0) 2 304 9100 ext. 2132 Email: rohini.kohli@undp.org Full Office Address: United Nations Service Building, 3rd Floor, Rajdamnern Nok Avenue, Bangkok 10200, Thailand
5. Title of the Readiness and Preparatory Support Proposal	Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador
6. Brief summary of the request (500 words) Please describe the current status of NAP in country and what the readiness support is aiming to achieve	<p>The Government of Ecuador is initiating the development of its National Adaptation Plan (NAP), following the directives of its National Strategy for Climate Change (NSCC) which established the development of a National Adaptation Plan as a principal means for its implementation. The NAP process in Ecuador has two major objectives:</p> <p>(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</p> <p>(b) To facilitate the coherent integration of climate change adaptation into development planning processes, policies and strategies related to six prioritized sectors ((i) <i>food sovereignty, agriculture, aquaculture and fisheries</i>; ii) <i>productive and strategic sectors*</i>; iii) <i>health</i>; iv) <i>water patrimony</i>; v) <i>natural heritage</i>; and vi) <i>human settlements</i>), as well as into new and existing related programmes and projects.</p> <p>The NSCC and the proposed NAP are 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 are also aligned with the National Development Plan (NDP) of Ecuador which states the need to "Implement mitigation and adaptation to climate change to reduce the economic and environmental vulnerability".</p> <p>Ecuador started the NAP process with an inception workshop hosted in February 2017 involving several key national institutions as well as agencies that have shown an interest in integrating climate change adaptation into the development planning process at sectoral and territorial levels.</p> <p>This project proposal builds upon the goals and priorities under the Constitution of Ecuador, the NDP and the NSCC, and the identification of gaps and needs by stakeholders at the inception workshop and follows the general guidance and framework of the Least Developed Countries Expert Group (LEG) Technical Guidelines on NAP. It aims to support the GoE develop the necessary studies, methodologies, indicators, policies, capacity building programmes, and other enabling instruments to mainstream climate change adaptation into development planning at sectoral, territorial and local levels with a cross-cutting focus on the climate risks faced by priority groups,¹ through:</p> <p>(i) Improving the coverage and the spatial and temporal resolution of climate projections, risks and vulnerability analyses;</p> <p>(ii) Strengthening institutional capacities through the development of guidance documents</p>

¹ 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 is estimated that climate changes, even those of lesser magnitude, can cause severe impacts on these groups, which are scattered throughout the national territory, although some are concentrated in rural and peri-urban areas. Source: NCCS (MAE, 2012).

	<p>(standards, technical guidelines, etc.), regulations (at central and local levels), standardized methods and tools to facilitate the management of climate risks;</p> <p>(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 sectoral, territorial and local level;</p> <p>iii) Designing measurement, reporting and verification (MRV) mechanisms for the NAP process and for the adaptation actions implemented by stakeholders;</p> <p>iv) Formulating strategies to ensure that financing, sustainability, scaling up and replication of CCA actions meet the needs and gaps and address the vulnerabilities identified during the NAP process;</p> <p>The project will ultimately contribute to the following GCF Fund level impacts: (i) increased resilience and enhanced livelihoods of the most vulnerable people, communities, and regions; (ii) increased resilience of health and well-being, and food and water security; (iii) increased resilience of infrastructure and the built environment to climate change threats; (iv) improved resilience of ecosystems and ecosystem services; (v) strengthened institutional and regulatory systems for climate-responsive planning and development; (vi) increased generation and use of climate information in decision-making; (vii) strengthened adaptive capacity and reduced exposure to climate risks; (viii) strengthened awareness of climate threats and risk-reduction processes.</p> <p>The financial support that will be obtained from the Green Climate Fund is essential to make the mentioned pathways possible and to overcome the main gaps identified.</p> <p>The development of the NAP Ecuador will be executed in “stages”. Their respective outcomes, outputs, activities, and deliverables are linked and are part of a continuum. Each stage will correspond to the progress report to be submitted by the Delivery Partner consistent with Clause 9 in the GCF UNDP Readiness Framework Agreement. As per the readiness framework agreement between the GCF and UNDP, clause 4.02 disbursements will be made based on the receipt and acceptance of a progress report (Portfolio Report referred to in Section 9.02) that includes deliverables produced during the respective timeframe submitted by NDA. Should any desired modifications involve 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 be identified during the course of the implementation, these modifications will be endorsed by the project board and presented to the GCF Secretariat for approval before disbursement of further funds.</p> <p><small>*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 strategy are: 1) Infrastructure, 2) Hydroelectric Production (Ref: NFCC)</small></p>
7. Total requested amount and currency	US\$ 3 million
8. Anticipated duration	36 months (First phase 18 months – second phase 18 months, subject to the successful delivery of the activities and the timely availability of funds)
9. Is the country receiving other Readiness and Preparatory Support related to the GCF?	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>In February 2017 Ecuador presented a Readiness Proposal that defined a strategic engagement framework with the GCF, which helps strengthen the NDA and the country’s capacity to implement adaptation and mitigation actions.</p> <p>The proposal includes activities that will allow the NDA to build up national capacities and processes, and engage stakeholders in consultation and policy development processes, among others.</p> <p>This preparatory support will enhance communication and coordination processes between the NDA, the GCF and other important stakeholders, and will help strengthen the NDA’s internal processes.</p> <p>The approved amount of the preparatory support grant is US\$ 300,000.00</p>

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 outputs and activities to improve the country's institutional capacity to achieve key objectives of NAP.

OUTPUTS AND ACTIVITIES	BASELINE	TARGET	INPUTS <i>(including key deliverables² where applicable)³</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 intra-institutional committee on Climate Change (ICCC). This methodology will be developed through workshops, official consultations and other⁴ participatory and gender-balanced coordination mechanisms steered by the NDA's office and will enable the institutionalization of the NAP process.</p> <p>Deliverable: Methodology for the preparation and future revisions of the NAP / Available: July 2018</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 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 National Determinate Contributions (NDC) construction phase).</p> <p>Deliverable: Validated document describing coordination mechanisms for NAP development and implementation (management arrangements) / Available: July 2018</p>

² For each activity mentioned in this logical framework correspond different deliverables, all of them detailed in table 2 – section 5 of this document (comments column). Each deliverable will be available in different date (for more detail see Annex 1 of this document).

³ 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 corporative platforms. In addition, another periodic reporting system for the implementation of the NAP will be the annual reports described in numeral 6 of this document, through which the progress of the NAP and the environmental and social risk management plans will be monitored.

⁴ One of these participatory mechanisms is the creation of Sectoral Working Groups (mentioned in numeral 6 of the present proposal 'implementation arrangements'), 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 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 sectors⁵; 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>Deliverable: Inventory of shortcomings and gaps of the social, economic and environmental information to prepare the assessments of vulnerability and climate risks / Available: September 2018</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+ 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 considerations and the effective participation of indigenous people in developed adaptive and/or consultation processes could be identified.</p> <p>Deliverable: Report/Compilation of relevant experiences of CCA actions / Available: September 2018</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>Deliverable: Technical analysis of strengths, weaknesses and resources needed to facilitate the integration of CCA into development planning processes / Available: September 2018</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>Deliverable: Proposal to strengthening the technical capacities of INAMHI / Available: February 2019</p>
<p>1.3 Design and deliver a communication, awareness raising and training strategy for key actors linked to the</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 NAP⁶. This strategy will be constructed through</p>

⁵ 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 strategy are: 1) Infrastructure, 2) Hydroelectric Production (Ref: NFCC)

⁶ Including those selected as members of the Sectoral Working Groups, as indicated in 1.1.1.

<p>integration of climate change adaptation into development planning at sectoral, territorial and local level.</p>			<p>a participative and gender sensitive 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> <p>Deliverable: Communication and awareness-raising Strategy (document) for integrate CCA into development planning processes / Available: February 2019</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 input 1.2.3 and in sets of workshops with national coverage, <i>ensuring gender balance and participation of indigenous populations</i>, and will also be part of the NAP institutionalization process.</p> <p>Deliverable: Training modules available, and at least 3 training workshops delivered/ Available: by February 2019</p>
<p>2. Preparatory elements for the NAP are in place to develop a knowledge base and formulate the NAP</p>	<p>3-10</p>	<p>9-10</p>	
<p>2.1 Generate technical documents and additional climate studies for Ecuador.</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>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>Deliverable: Climate indices & climate trends for Ecuador continental territory – validated / Available: December 2018</p> <p>2.1.2 Develop and apply a technical methodology for prioritization of specific zones (one specific geographical zone for each prioritized sector) based on sectoral needs, socio-economic scenarios and the information generated through the activities of output 1, activity 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>Deliverable: Technical methodology for prioritization of geographical zones & six (at least) prioritized zones / Available: December 2018</p> <p>2.1.3 Generate six downscaled climate projections (one for each prioritized sector) based on input 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>Deliverable: Six downscaled climate projections (regionalization studies) / Available: June 2019</p>
<p>2.2 Perform vulnerability and climate risk studies at territorial and sectoral scales</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>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 inputs 2.1.2 and 2.1.3. Additionally, these studies will include the formulation of sets of CCA options (at the</p>

<p>including assessments of impacts and generation of adaptive responses.</p>			<p>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 roles of feedback and approval) 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 its major livelihoods and economic activities.</p> <p>Deliverable: Six sectoral vulnerability and climate risk studies / Available: March 2020</p> <p>2.2.2 Generate one territorial Vulnerability and Climate Risk study with national coverage that includes an assessment of short- and medium-term impacts of climate threats. This study will use the information generated by input 2.1.1 and will establish adaptation actions typologies⁷ 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>Deliverable: Territorial vulnerability and climate risk study / Available: December 2018</p>
<p>2.3 Develop valuation studies of climate change adaptation options</p>	<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 inputs 2.2.1 and 2.2.2 (to be selected and prioritized applying the criteria developed in input 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 inputs 2.2.1 and 2.2.2 and applying the prioritization criteria indicated in point 3.1.1); and iv) gender. In all cases, these analyses will be carried out with the support of Sectoral Working Groups (with the roles of feedback and approval) making sure to include gender and indigenous peoples' considerations.</p> <p>Deliverable: Climate Change Adaptation actions appraised and prioritized / Available: April 2019</p>
<p>2.4 Formulate and communicate an overarching NAP document that takes into account Sectoral and Sub-National considerations.</p>	<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 output 1; ii) climatic and vulnerability baseline Scenario drawn from activities 2.1 and 2.2; iii) prioritized adaptation options based on activities 2.2 and 2.3; iv) NAP building process⁸ that includes the identification of key stakeholders, beneficiaries, responsible, deadlines, budgets, funding, etc.; v) implementation arrangements drawn from activity 3.2; vi) enabling instruments for the NAP process based on activities 2.5, 3.1, 3.2, 3.3; vii) implementation strategy drawn from activity 3.4; viii) NAP MRV system and dissemination strategy drawn from activities 4.1 and 4.2; and, ix) funding strategy drawn from activity 5.1.</p> <p>Deliverable: National Adaptation Plan – Draft Version / Available: August 2020</p> <p>2.4.2 Undertake a participatory process involving sectoral and local stakeholders, including women's groups,</p>

⁷ 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.

⁸ The information gathered during the NAP inception workshop, it was held in February 2017, will be taken as a starting point.

			<p>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-balanced approach, ensure the participation of private sector and indigenous population, and prevent the build-up of adverse social and environmental implications.</p> <p>Deliverable: Consultation reports and revised version of the National Adaptation Plan including inputs by relevant actors / Available: by September 2020</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 2018.</p> <p>Deliverable: National Adaptation Plan (final version) / Available: September 2020</p>
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: sectoral, territorial and local). These instruments will be developed in inter-institutional articulation procedures between MAE, SENPLADES and the respective 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>Deliverable: Three Technical Guidelines to integrate CCA into development planning processes / Available: December 2019</p>
3 NAP implementation is facilitated	1-8	8-8	
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 gender⁹). The prioritization criteria will be carried out with the support of the Sectoral Working Groups (with the roles of feedback and approval), 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>Deliverable: Prioritization criteria list for CCA actions / Available: March 2020</p>
3.2 Elaborate an implementation strategy for the identified adaptation options, joint activities with other ongoing adaptation initiatives (at national and	<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 input 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 activity 1.1) by planned participation and discussion spaces (such as those that will be constituted for the Sectoral Working Groups, as mentioned in input 1.1.1 and section 6 of this proposal). This strategy also aims to incorporate the adaptation dimension into other planned sectoral actions which will increase the</p>

⁹ 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.

international scale) and promote the sustainability of the adaptation processes.			<p>expected impact of the NAP because sectoral budgets will be added for the design and implementation phases of CCA selected options.</p> <p>Deliverable: Implementation strategy for prioritized adaptation actions / Available: July 2020</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 roles of feedback and approval), ensuring the inclusion of gender and indigenous peoples' considerations.</p> <p>Deliverable: Six technical standards to facilitate the integration of CCA in sectoral development planning processes / Available: March 2020</p> <p>3.3.2 Develop two technical guidance documents on: i) adaptation options' typologies¹⁰; and ii) relevant aspects of CCA options design¹¹. 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>Deliverable: Two Technical Guidelines to facilitate the design and implementation of CCA actions / Available: March 2020</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>Deliverable: Proposal of synergies between NAP & other CCA plans, projects and initiatives (regional level) / Available: July 2020</p>
4 Mechanisms for Reporting, Monitoring and Review of NAPs and adaptation progress in place	0-4	4-4	
4.1 Design indicators and an	<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	4.1.1 Develop indicators and a system of measurement, reporting and verification (MRV) of the national adaptation plan

¹⁰ This document will use the information generated by 2.2.2 as a first reference.

¹¹ This document will use the information generated by 2.2.1 and 2.2.2 as relevant inputs.

MRV system for the NAP process effectiveness.			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 ¹² . This system will include a strategy for collecting data that will feed into the indicators. Deliverable: Measurement, reporting and verification (MRV) system for the NAP process / Available: August 2020
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. Deliverable: Annual reports / Available: At the request of the GCF (using the recommended templates)
5 Funding strategy for the NAP and CCA is available	0-2	1-2	
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 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 ¹³ . 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. Deliverable: Financing and sustainability strategy for the NAP process / Available: August 2020
TOTAL	7	28	

¹² 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.

¹³ It will build upon recommendations in 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 National Determined Contributions – Ecuador (availability expected no later than June of 2019).

SECTION 3: ADDITIONAL INFORMATION

Please explain how this grant will help deliver on the country's NAP as identified above and build on institutions, processes or existing work already under way in the country. Please provide a brief description of (maximum 1000 words)

- a. Context
- b. Baseline situation with regards to each output
- c. Objectives, outcomes and impact
- d. Stakeholders engagement

Context:

Ecuador is an Andean country in the Western Hemisphere, in the north-west of South America, with a total area¹⁴ of 257,217 km² including the Galapagos Islands, and 16.3 million habitants as of 2015¹⁵. The Southern Andes mountain range divides the continental territory of Ecuador into three different regions: Coast, Andes and Amazon. It is one of the 17 mega-diverse countries on the planet.

The National Participatory Planning System (NPPS) considers and incorporates climate change criteria in its structure, through the "top-level planning tools," consisting of: Constitution of the Republic, National Development Plan (NDP), National Agenda for Productive Transformation, and National Strategy for Equality and Eradication of Poverty.

The Constitution of the Republic of Ecuador is a global pioneer in its acknowledgment of the rights of Nature, and establishing the State's obligation to reduce the vulnerability of people, communities and nature against the negative effects of natural or man-made disasters (including climate related). The NDP further states the specific requirement to "implement climate change mitigation and adaptation to reduce economic and environmental vulnerability".

The NPPS is complemented by secondary-level planning tools such as: Sectoral Policy and Institutional Planning (tools that provide, at government level, the strategic guidelines that have been identified and prioritized by the top-level planning tools); Zonal Planning Agendas (which articulate the national public policy according to the provisions of the National Territorial Strategy (NTS)); and Inter-sectoral Coordination Agendas (which manage cross-cutting issues such as environmental and risk management, and climate change).

Meanwhile, various policies related to the management of climate change are contained in the National Climate Change Strategy¹⁶; various Executive Governmental Decrees¹⁷; and Ministerial Agreements¹⁸.

The National Climate Change Strategy (NCCS) defines the following priority areas of work on climate change adaptation: i) sovereignty and food security, agriculture, livestock, aquaculture and fisheries; ii) productive and strategic sectors; iii) health; iv) water patrimony; v) natural patrimony; vii) human settlements; vi) priority groups and viii) risk management. The latter two are considered cross-cutting actions.

The key actors for the NAP process are the members of the Interinstitutional Climate Change Committee (ICCC), established in 2010 as the governmental organ for the coordination and integral execution of national policies related to climate change. The ICCC is led by the Ministry of Environment (MAE), through its Under-Secretariat for Climate Change. The ministry is also the National Focal Point for the UNFCCC, as well as the NDA for the GCF. Other key actors in the NAP process include various ministries, national secretariats, public research institutes, universities, Decentralized Autonomous Governments and their associated bodies, and civil society organizations, *including women's groups and indigenous populations*, among others.

The main challenges, barriers and gaps¹⁹ to develop the NAP process, can be summarized as follows: "**restricted conditions for incorporating climate change adaptation into development planning at the sectoral, territorial and local levels**", and mainly relate to:

- a) Lack of policies and technical standards to integrate CCA into development planning at sectoral and territorial levels.
- b) Limited information to inform development planning, including poor resolution and lack accuracy of climate projections and poor territorial coverage of vulnerability studies.
- c) Lack of information and limited capacity for climate risks analysis at sectoral and territorial level.
- d) Limited capacity of most actors and stakeholders to integrate CCA into development planning.

¹⁴ Geographical Atlas of the Republic of Ecuador. IGM, 2013.

¹⁵ Population and migration statistics 2010 – 2020. INEC, 2016

¹⁶ National Climate Change Strategy, MAE, 2012.

¹⁷ Executive Decree N° 1815. Official Register N° 636 - 17/July/2009. & Executive Decree N° 495. Official Register N° 304 – 20/Oct/2010.

¹⁸ Ministerial Agreement N° 095. MAE, 2012. & Ministerial Agreement N° 137. MAE, 2014.

¹⁹ For more reference see point 3.1, 3.2 and 3.3 of Stocktaking Report an Annex of the present proposal.

Baseline situation with regards to each output:

Output	Baseline situation
<p>1. National mandate, strategy and steering mechanisms are in place and gaps are assessed and addressed.</p>	<p>Activities under Output 1 will focus on preparing an inventory, assessing and addressing gaps and needs related to the integration of CCA into the development planning process.</p> <p>Some policies²⁰ associated with climate change management are already contained in executive governmental decrees and ministerial agreements, etc. The NCCS has prioritized thematic areas or sectors to work on CCA.</p> <p>In addition, a national system of planning at sectoral, territorial and local level is available. The process to integrate CCA into this system started in 2014 through the publication of MAE's and the National Secretariat for Planning and Development (SENPLADES) technical guidelines for the incorporation of CCA into local development planning instruments. The Subnational governments (GADs) are supposed to plan their budgets based on these, however, few GADs have implemented those guidelines to date, and this system requires significant strengthening²¹.</p> <p>Available climate and socio-economic information is insufficient, both qualitative and quantitative. Technical and technological capacities (human resources and equipment) to perform climate projections and climate risk analysis are also very limited. Additionally, there is still incomplete understanding of the potential use and application (e.g. through software) of the data available in existing climate change studies, including climate projections and climate trends.</p> <p>Moreover, information on the actions, research and projects around CCA in the past five years has not been adequately and systematically recorded and disseminated. Some of the few exceptions are included in the Third National Communication on Climate Change.</p>
<p>2. Preparatory elements for the NAP in place to develop a knowledge-base and formulate a NAP.</p>	<p>Activities under Output 2 will focus on improving available climate projections and trends, and developing complete assessments of vulnerability and climate risks, as well as guidelines to integrate CCA into development planning, as highlighted during the NAP's Inception Workshop and subsequent consultation meetings.</p> <p>There are long-term climate projections and other studies of short- and mid-term climate trends, but their spatial resolution (cell size) is still limited. There are also multiple specific vulnerability and adaptation assessments²², although in most cases for the local level only²³. In addition, a set of adaptation effectiveness indicators are available, although so far only at the experimental stage.</p> <p>The territorial coverage of the available studies on vulnerability and CCA is insufficient. The same is true of the guidelines on integrating CCA into development planning processes at sectoral level. Official guidelines are very few, and only oriented at the local level (for example Ministerial Agreement N° 137 'General Guidelines for Climate Change Plans, Programmes and Strategies of Decentralized Autonomous Governments' MAE, 2014). Furthermore, knowledge on costs, benefits and results of CCA actions is practically nonexistent.</p> <p>Finally, at sectoral level, the analyses of potential climate change impacts are still an underdeveloped subject. This limitation affects the decision-making processes related to development planning.</p>
<p>3. NAP implementation facilitated.</p>	<p>Activities under Output 3 will focus on generating technical documents (e.g. list of prioritization criteria) that enable the integration of adaptation into development planning, and the preparation of a national strategy for the implementation of CCA actions.</p> <p>There have already been some successful experiences of integrating CCA into local development planning instruments (with or without the MAE's guidelines). But, the general instrument that guides and facilitate the management of CCA oriented towards the six prioritized sectors is the NCCS.</p> <p>Standardized criteria are still not available for prioritizing adaptation actions, with the only readily available ones being for pilot cases like the PRAA project or the Explanatory Guide produced by MAE in 2014 for Climate Change Local Plans development.²⁴ There are also only a few technical tools (guidelines or standards) for the technical staff (public and private Technical staff) responsible for the integration of CCA into development planning processes.</p>

²⁰ For more reference see point 2.1 of Stocktaking Report an Annex of the present proposal.

²¹ Third National Communication of Climate Change – Ecuador (MAE-UNDP, 2017).

²² Idem to footnote number 13.

²³ e.g. projects such as PRAA ("Proyecto Regional Andino de Adaptación al Cambio Climático / Adaptación al impacto del retroceso acelerado de glaciares en los andes tropicales" or "Adaptation to the Impact of Rapid Retreat of Glaciers in the Tropical Andes Project"), PACC ("Proyecto de Adaptación al Cambio Climático a través de una efectiva Gobernabilidad del Agua" or "Adapting to Climate Change through Effective Water Governance"), or FORECCSA ("Fortalecimiento de la resiliencia de las comunidades ante los efectos adversos del cambio climático con énfasis en seguridad alimentaria", or "strengthening the resilience of communities to the impacts of climate change with an emphasis on food sovereignty").

²⁴ Taken from the Third National Communication of Climate Change – Ecuador (MAE-UNDP, 2017).

	<p>In addition, there is a lack of specialized documents related to the different typologies of CCA actions, or concerning the relevant technical aspects to be considered for the selection and final design of adaptive responses.</p> <p>Finally, there is also a shortage of strategies to ensure the coordinated (and/or synergic) implementation of prioritized CCA actions at subnational, national and supranational (with other countries of the Andean Region or Latin America) levels.</p>
4. Mechanisms for Reporting, Monitoring and Review of NAPs and adaptation progress in place.	<p>Activities under Output 4 will focus on generating mechanisms for reporting, monitoring and review the NAP process through an MRV system based on indicators. This system will be useful for producing periodic updates on the progress of the NAP process. There is currently no national system for such an MRV for the NAP²⁵.</p> <p>At present, there are succinct updated technical reports on adaptation studies and actions and related results between 2001 and 2010, and between 2011 and 2015 (Second and Third National Communications of Climate Change - Ecuador)²⁶. However, this information has been prepared with the sole purpose of presenting the progress and results of the actions and research developed in relation to CCA in Ecuador, in accordance with the guidelines of the UNFCCC.</p> <p>For other projects led by the MAE, including PRAA, PACC, GACC, and FORECCSA, the evaluation is done by a system called Government by Results (GBR)²⁷. This software-based reporting system is the first reference in designing the MRV for the NAP.</p>
5. Funding strategy for the NAP and CCA is available.	<p>Activities under Output 5 will focus on conducting studies and gathering relevant information to enable the preparation of a financing and sustainability strategy for the NAP process (including options for scaling and replication).</p> <p>Currently, there is a generic study on climate change adaptation and mitigation costs at national level.²⁸ This includes updated financial information that serves as a baseline of public financial flows for CCA between 2011 and 2015²⁹ at national level by prioritized sectors. However, there is no specific information on incentives to the private sector for CCA actions, or on other financial tools that could be applied in Ecuador.</p> <p>There is also no current valuation at the local or sectoral level of the financial flows / investments regarding vulnerability. This limits the information available for the future allocation of funds for the most vulnerable territories or sectors.</p>

Objectives, outcomes and impact:

The proposed GCF project will ultimately enable reducing vulnerabilities of communities and assets throughout Ecuador. By targeting processes of adaptation and development planning at both central and local levels, the proposed 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 their resilience.

The proposed project aims particularly to build enabling conditions for integrating climate risk information in development planning through:

- (i) Improving the coverage and spatial and temporal resolution of climate projections, risk 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 managing 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 sectoral, territorial and local level;
- iii) Designing measurement, reporting and verification (MRV) mechanisms for the NAP process and for the adaptation actions implemented by stakeholders;
- iv) 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 activities will be far-reaching in creating the foundation for integrating climate risks in development planning through improved climate information, strengthened institutional and technical capacities, tools to identify and implement adaptation options and a financing strategy. It is expected that this would lead to an increased adaptive capacity and resilience and reduced vulnerability of human and natural systems. In addition, a few major current and planned national initiatives will be complemented, improved and strengthened by NAP process, as is the case of: SENPLADES's guidelines to incorporate the climate change dimension into development and land use plans; MAE's guidelines to impulse the formulation of specific climate change plans at local level; and, CONGOPE's planned project to generate useful technical documents for the design of climate change provincial strategies.

²⁵ For more reference see point 2.3 of Stocktaking Report an Annex of the present proposal.

²⁶ Second National Communication of Climate Change. MAE-UNDP, 2011 & Third National Communication of Climate Change. MAE-UNDP, 2017.

²⁷ For more reference see point 2.3 of Stocktaking Report an Annex of the present proposal.

²⁸ The Economy of climate change in Ecuador 2012. CEPAL, 2012.

²⁹ Climate Public Expenditure and Institutional Analysis (CPEIR). MAE-UNDP, 2017.

Stakeholders Engagement:

Ecuador began its NAP process in February 2017 with an Inception Workshop, which convened the main stakeholders involved in climate change adaptation management in the country. The workshop began a consultation- and interaction-oriented process, with the aim to compile useful information for the preparation of the initial proposal and subsequent activities. Participants to this workshop included representatives of nearly all ministries, local government representatives as well as specialized agencies (Meteorological institute), and civil society organizations.

The NAP process will include very extensive consultations at all levels to guarantee a participative and gender-balanced approach, 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 a participation of all relevant actors as possible. The procedure and criteria for selecting representative stakeholders to participate in the NAP will be determined via activity 1.1, but major groups (i.e. sectoral agencies, local governments, indigenous communities, environmental and development NGOs, women's groups, indigenous people, and the private sector) will all be included³⁰.

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.
- 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). 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.

SECTION 4: PROJECT/PROGRAMME DESCRIPTION

Describe the main activities and the planned measures of the project/programme according to each of its components.

The proposed 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.

The project will focus mainly on the integration of CCA into six prioritized sectors by the NCCS: i) sovereignty and food security, agriculture, livestock, aquaculture and fisheries; ii) productive and strategic sectors; iii) health; iv) water patrimony; v) natural patrimony; and, vi) human settlements, with a cross-focus on the climate risks faced by priority groups. The project will be carried out for the four elements of the NAP process laid out by the UNFCCC technical guidelines, with special emphasis on elements A, B and C.

The gaps in CCA integration into development planning at sectoral, territorial and local level were identified during the inception workshop that took place in February 2017, and will be further addressed during the NAP process. As mentioned in section 1, the main gaps to integrating climate change adaptation into sectoral, territorial and local planning and budgeting are³¹:

- a. lack of policies and technical standards to integrate CCA into development planning at sectoral and territorial scale;
- b. limited scale resolution of available climate projections and poor territorial coverage of vulnerability studies;
- c. insufficient information and limited capacities to perform climate risks analysis at sectoral and territorial level;
- d. limited capacities of the technical staff (public and private Technical staff) to integrate CCA on development planning; and
- e. insufficient coordination between ministries and Decentralized Autonomous Governments (at different levels of

³⁰ For more reference and details see point 2.2 of Stocktaking Report an Annex of the present proposal.

³¹ For more reference see points 3.2 and 4.1 of Stocktaking Report an Annex of the present proposal.

governance) to implement CCA actions and integrate CCA into development planning at sectoral, territorial and local level.

GCF resources will enable the Government of Ecuador to contribute to the creation and strengthening of technical capacities (individual and institutional) to facilitate the integration of climate change adaptation into the central and local governments' development planning and budget processes.

The resources will also enable the generation of climate information with better resolution and scale in future, as well as assessments of vulnerability and climate risk at sectoral, territorial and local levels. In addition, the funds will allow the design of technical tools and instruments (guidelines, standards, strategies, etc.) to guide the integration of CCA into development planning, and enable the dissemination of it progress and results. The funds will also allow the formulation of financing strategies / mechanisms for adaptation management at sectoral, territorial and local levels.

The NAP, once formulated, will contain all the subjects previously mentioned and will reflect the results of each planned activity. Activities will be institutionalized by the six Working Groups (see section 6). With them, not only will the outputs be generated in a participatory manner, but capacities will be created, in turn generating links and agreements for the information flow, and the integration of adaptation into development planning instruments, and into the preparation of future iterations of the NAP.

These goals will be achieved through five outputs and corresponding activities. In most planned activities, it will be necessary to hire national and international experts, organize participatory workshops, prepare technical documents and systematize the resulting information. The deliverables of each activity will be developed under the supervision of the NAP team and the support of the NDA and UNDP.

Output 1. National mandate, strategy and steering mechanisms are in place and gaps are assessed and addressed.

This output will address three of the four steps of the element A of the NAP guidelines. 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 6 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.

The NAP process has been initiated in the country through an Inception Workshop, but it is now necessary that this 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.

The Inception Workshop also discussed the need for improved institutional coordination to integrate CCA into development planning at sectoral, territorial and local levels. Participants agreed that the Ministry of Environment (MAE) should lead the NAP process in its capacity of chair of the Interinstitutional Climate Change Committee (ICCC) and as the National Designated Authority of the Green Climate Fund, and the National Secretariat for Planning and Development (SENPLADES) should participate as main partner in the design and implementation of the NAP's phases. While the ICCC provides a high-level coordination body for climate change policies on the country, there is a need to design coordination mechanisms at other levels to coordinate the development and implementation of NAP, including the creation of Sectoral Working Groups for the sectors prioritized by the NCCS, and to consider the inclusion of other stakeholders in addition to the government ministries and agencies.

This activity 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 intra-institutional committee on Climate Change. This methodology will be developed through workshops, official consultations and other participatory and gender-balanced 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 stakeholders. Priority will be given to the participation of women groups and indigenous people in consultation processes 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 National Determinate Contributions (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 degree of knowledge about the strengths, weaknesses and gaps in 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 in the Stocktaking Report. 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 activity 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 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; 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.
- 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+ 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 considerations 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 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.
- 1.2.4 Design a 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. 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.

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 activity 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. These strategies will be developed by consultants. It is expected that the information generated in activity 1.2 will be used as a relevant input for this activity, 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 sensitive 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 input 1.2.3 and in sets of workshops with national coverage, *ensuring gender balance and participation of indigenous populations*, and will also be part of the NAP institutionalization process.

Output 2. Preparatory elements for the NAP are in place to develop a knowledge base and formulate the NAP.

This output will address the five steps of the element B of a NAP. 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 output 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 output.

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). The cell size 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. For these reasons, it is essential to improve the available studies through downscaling techniques (dynamical or statistical downscaling) and use of observed weather 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 activity, 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 (one specific geographical zone for each prioritized sector) based on sectoral needs, socio-economic scenarios and the information generated through the activities of output 1, activity 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 input 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 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 activity 2.1 will be used as a relevant input for this activity, 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 inputs 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 roles of feedback and approval) 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 their major livelihoods and economic activities.
- 2.2.2 Generate one territorial Vulnerability and Climate Risk study 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 input 2.1.1 and will establish adaptation actions typologies 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, and no 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 activities 2.2 and 3.1 will be used as a relevant input for this activity, which will be implemented as follows:

- 2.3.1 Prioritize, appraise and evaluate CCA options emanating from inputs 2.2.1 and 2.2.2 (to be selected and prioritized applying the criteria developed in input 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 inputs 2.2.1 and 2.2.2 and applying the prioritization criteria indicated in point 3.1.1); and iv) gender. In all cases, these analyses will be carried out with the support of Sectoral Working Groups (with the roles of feedback and approval) 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 activities 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 finalised 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. 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 activity 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 output 1; ii) climatic and vulnerability baseline Scenario drawn from activities 2.1 and 2.2; iii) prioritized adaptation options based on activities 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 activity 3.2; vi) enabling instruments for the NAP process based on activities 2.5, 3.1, 3.2, 3.3; vii) implementation strategy drawn from activity 3.4; viii) NAP MRV system and dissemination strategy drawn from activities 4.1 and 4.2; and, ix) funding strategy drawn from activity 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-balanced approach, ensure the participation of private sector 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 2018.

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 sectoral, 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 activity. It is expected that the information generated in activities 2.1, 2.2 and 2.3 will be used as a relevant input for this activity, 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: sectoral, territorial and local). These instruments will be developed in

inter-institutional articulation procedures between MAE, SENPLADES and the respective 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.

Output 3. NAP implementation is facilitated.

This output will address the four steps of element C of the NAP. 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. 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 input 2.3.1 with the sets of CCA options identified from inputs 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 activity 2.3 will be used as a relevant input for this activity, which will be implemented as follows:

3.1.1 Develop a list of prioritization criteria for CCA options (including multi criteria tools with a strong emphasis on gender). The prioritization criteria will be carried out with the support of the Sectoral Working Groups (with the roles of feedback and approval), 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 activities 1.1 and 2.3 will be used as a relevant input for this activity, which will be implemented as follows:

3.2.1 Develop an implementation strategy to carry out the prioritized adaptation options (prioritized through input 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 activity 1.1) by planned participation and discussion spaces (such as those that will be constituted for the Sectoral Working Groups, as mentioned in input 1.1.1 and section 6 of this proposal). 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.

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 activity 2.2 will be used as a relevant

input for this activity, 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 roles of feedback and approval), 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 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 NDC formulation and implementation process.

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. the PRAA project). Undoubtedly, the development of the NAP process opens the way for synergistic / coordinated action with parallel initiatives in neighbouring 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 activities of outputs 2 and 3 will be used as a relevant input for this activity, 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.

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

This output will address two of the four steps of the element D of an NAP. 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 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 outputs, 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 activity 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.

These reports will be developed by the NAP team. All information related to the NAP process, as well as information from the MRV system (according to point 4.1.1), will be key inputs for the Fourth National Communication on Climate Change expected to start in 2018 (and subsequent National Communications). It is expected that the system implemented in activity 4.1 will be used as a relevant instrument for this activity, 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.

Output 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 (Including scaling and replication options).

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 activity will be implemented as follows:

5.1.1 Develop a financing and sustainability strategy for the NAP process (including options for 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 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 apply.

SECTION 5: BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT

GCF Readiness NAP Output	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 Output 1	International Consultants	45,000	-	-	45,000	1
	Local Consultants	25,000	-	-	25,000	2
	Contractual Services - Individuals	12,056	-	-	12,056	3
	Contractual Services- Companies	228,000	-	-	228,000	4
	Travel **	15,750	-	-	15,750	5
	Supplies	500	-	-	500	6
	Audio Visual & Print Prod Costs	4,000	-	-	4,000	8
	Training, Workshops and Conferences ***	21,000	-	-	21,000	9
Total Output 1		351,306	-	-	351,306	
GCF NAP Ecuador Output 2	Local Consultants	-	75,000	-	75,000	10

	Contractual Services-Companies	300,000	512,500	608,096	1,420,596	11
	Contractual Services - Individuals	36,169	36,169	36,169	108,507	3
	UN Volunteers	17,782	17,782	17,782	53,346	12
	Travel **	6,750	6,750	4,500	18,000	13
	Supplies	500	1,000	1,000	2,500	6
	Audio Visual & Print Prod Costs	4,000	4,000	4,000	12,000	8
	Training, Workshops and Conferences ***	9,000	9,000	6,000	24,000	14
Total Output 2		374,201	662,201	677,547	1,713,949	
GCF NAP Ecuador Output 3	Local Consultants	-	60,000	30,000	90,000	15
	Contractual Services - Individuals	-	24,113	12,056	36,169	3
	Contractual Services-Companies	-	70,000	70,000	140,000	16
	Travel **	-	9,000	17,250	26,250	17
	Supplies	-	1,000	500	1,500	6
	Audio Visual & Print Prod Costs	-	4,000	2,000	6,000	8
	Training, Workshops and Conferences ***	-	12,000	9,000	21,000	18
Total Output 3		-	180,113	140,806	320,919	
GCF NAP Ecuador Output 4	Local Consultants	-	-	30,000	30,000	19
	Contractual Services - Individuals	-	-	12,056	12,056	3
	Travel **	-	-	2,350	2,350	20
	Audio Visual & Print Prod Costs	-	-	1,000	1,000	8
	Training, Workshops and Conferences ***	-	-	3,000	3,000	21
Total Output 4		-	-	48,406	48,406	
GCF NAP Ecuador Output 5	Contractual Services - Individuals	-	-	12,056	12,056	3
	Contractual Services-Companies	-	-	70,000	70,000	22
	Travel **	-	-	2,342	2,342	23

	Audio Visual & Print Prod Costs	-	-	3,000	3,000	8
	Training, Workshops and Conferences ***	-	-	3,000	3,000	24
Total Output 5		-	-	90,398	90,398	
Project management costs	Contractual Services – Individuals ****	22,032	22,032	22,032	66,096	25
	Information Technology Equipment	3,950	s\$0	-	3,950	7
	Professional Services	2,000	2,000	2,000	6,000	26
Total Project management costs		27,982	24,032	24,032	76,046	
Contingency		42,083	42,083	42,083	126,249	27
Total operations costs (Outputs 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	
GMS Fee 10%		79,557.00	90,843.00	102,327.00	272,727.00	
TOTAL PROJECT COSTS		875,129	999,271	1,125,600	3,000,000	28

General Notes to prepare the budget:

* 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 are 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, project assistant, travel costs of the PMU and other General Operating Expenses

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. 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 Output 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 output 1, five policy briefs for output 2, four policy briefs for output 3, one policy brief for output 4, and one policy brief for output 5. Each publication will be different to the others. For more details see Annex 1.
9. Refers to 7 workshops (4 workshops for Activity 1.2 and 3 workshops for Activity 1.3) each one with a duration of 1 and half days and 25 participants to present results of studies and inventories for outputs 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 Output 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 Activity 2.1, 2 workshops for Activity 2.2 and 1 workshop for each one of the Activities 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 outputs 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 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 Output 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 Activity 3.2 and 3 workshops for Activity 3.3) and 1 international workshop (related to Activity 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 Output 4 to take place in Quito. For more reference see Budget

Note 21.
21. Refers to 1 workshop related to Activity 4.1 (with a duration of 1 and half days and 25 participants) to present results of output 4.1 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 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 of Output 5 to take place in Quito. For more reference see Budget Note 24.
24. Refers to 1 workshop related to Activity 5.1 (with a duration of 1 and half days and 25 participants) to present results of output 5.1 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 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 6 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.
28. The development of the NAP Ecuador will be executed in "stages". Their respective outcomes, outputs, activities, and deliverables are linked and are part of a continuum. Each stage will correspond to the progress report to be submitted by the Delivery Partner consistent with Clause 9 in the GCF UNDP Readiness Framework Agreement. As per the readiness framework agreement between the GCF and UNDP, clause 4.02 disbursements will be made based on the receipt and acceptance of a progress report (Portfolio Report referred to in Section 9.02) that includes deliverables produced during the respective timeframe submitted by NDA. Should any desired modifications involve 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 be identified during the course of the implementation, these modifications will be endorsed by the project board and presented to the GCF Secretariat for approval before disbursement of further funds.

<p>Procurement plan</p> <p><i>For goods or services to be procured/hired, list the items to be procured/hired (including consultants), the estimated cost of each item, and the procedure to be used (i.e. direct procurement, open tender, shopping, other and related thresholds). Please include the procurement plan for at least the first tranche of disbursement requested below.</i></p> <p><i>UNDP will manage the readiness funding and will be responsible for providing and contracting the services described in this proposal, as well as reporting on the progress of this implementation in close coordination and under supervision of the NDA/FP. The procurement will be processed in accordance with the procurement guidelines and policies of UNDP. As UNDP has been accredited by the Fund as an implementing entity at the Fund's ninth Board meeting, the Fund will not undertake a due diligence on the fiduciary management capacity of UNDP, replacing the process with its accreditation process.</i></p> <p><i>The NDA/FP will approve the interim progress report and completion report provided by the delivery partner.</i></p> <p><i>UNDP, in collaboration with the NDA/FP, will competitively procure services consistent with its procurement policies:</i></p> <ul style="list-style-type: none"> <i>• Consultants will be procured on a competitive basis and the terms of reference of consultants will be developed, in coordination with the NDA, further to include the tasks outlined in the request summary above. The NDA/FP may also add other tasks to the ToRs of the consultants in accordance with the Fund's defined scope of work within the resource envelope in this proposal and any supplementary resources secured from other sources, as long as these do not contravene with UNDP's regulations and rules.</i> <i>• For items such as venues and travel for stakeholder workshops to be organized, a procurement method will be used to procure such services consistent with UNDP's procurement policies.</i> <p><i>Table 1 presents a summary of the procurement items and Table 2 presents a more detailed and commented version of the procurement plan.</i></p>

Table 1. Summary of Procurement Items

Budget Description	General Description	Contract Value	Procurement Method	Advertisement Date (quarter/year)
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Budget Description	General Description	Contract Value	Procurement Method	Advertisement Date (quarter/year)
International Consultant	1 Individual Contracts	\$45,000	Request For Quotation	3Q 2018
Local Consultants	7 Individual Contracts	\$220,000	Request For Quotation	1Q 2018, 2Q 2019, 3Q 2019, 4Q 2019, 1Q 2020, 2Q 2020
Contractual Services Companies	9 Contracts	\$1,858,596	Request For Quotation & Invitation to Bid	2Q 2018, 3Q 2018, 2Q 2019, 3Q 2019, 1Q 2020, 2Q 2020
Travel	Air tickets and bus tickets	\$20,200	Micro purchases	2Q 2018, 3Q 2018, 4Q 2018, 2Q 2019, 3Q 2019, 4Q 2019, 1Q 2020, 2Q 2020, 3Q 2020
Audio Visual&Print Prod Costs	12 Policy brief publications (each one will have a total of 500 copies including design, edition and printing).	\$26,000	Request For Quotation & Micro purchases	2Q 2018, 3Q 2018, 4Q 2018, 2Q 2019, 3Q 2019, 4Q 2019, 1Q 2020, 2Q 2020, 3Q 2020
Training	23 Workshops	\$72,000	Request For Quotation & Micro purchases	2Q 2018, 3Q 2018, 4Q 2018, 2Q 2019, 3Q 2019, 4Q 2019, 1Q 2020, 2Q 2020, 3Q 2020
Service contract - individual	2 Contracts	\$246,940	Competitive process	1Q 2018
UN Volunteers	1 Contract	\$53,346	Competitive process	1Q 2018
Supplies	Office material	\$4,500	Micro purchases	1Q 2018, 1Q 2019, 1Q 2020
Information Technology Equipment	Laptops & other technological equipment required for the Project Unit (3 laptops and a printer)	\$3,950	Micro purchases	1Q 2018
Professional Services	Audit	\$6,000	Request For Quotation	3Q 2018, 3Q 2019, 3Q 2020

Table 2. Detailed and commented procurement items

Output	Atlas Budget Description	General Description	Contract Value	Recruitment Method ¹	Advertisement Date (quarter/year)	International or National Assignment	Comments
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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	1Q 2018	National	Deliverables: 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	3Q 2018	International	Deliverables: 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	1Q 2018	National	Duties and functions are described in Budget Notes. Full time for 3 years.
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	2Q 2018	National	Deliverables: 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	2Q 2018	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 4 workshops of output 1.2 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 1.2 Training.
1.2	Audio Visual & Print Prod Cost	Policy brief publications	\$4,000	micro purchase	2Q 2018	National	Refers to 1 policy brief related with the deliverables of activity 1.2.
1.2	Training	Workshops	\$12,000	RFQ	2Q 2018	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 output 1.2 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	3Q 2018	National	Deliverables: 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	3Q 2018	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	3Q 2018	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of output 1.3 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.
1.3	Training	Workshops	\$9,000	RFQ	3Q 2018	National	Refers to 3 workshops (each one with a duration of 1 and half days and 25 local participants) to train technical staff (under output 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.
2.1	Contractual	IC 2.1 Generate	\$512,500	RFQ	3Q 2018	International	Deliverables: Six

	Services Companies	technical documents and additional climate studies for Ecuador.					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.
2.1	Contractual Services Companies	IC 2.1 Generate technical documents and additional climate studies for Ecuador.	\$150,000	RFQ	2Q 2018	National	Deliverables: 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	1Q 2018	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	1Q 2018	National	

2.1	Travel	Bus tickets	\$1,800	micro purchase	2Q 2018	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of output 2.1 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	2Q 2018	National	Refers to 1 policy brief related with the deliverables of activity 2.1.
2.1	Training	Workshops	\$9,000	RFQ	2Q 2018	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 output 2.1 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 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	2Q 2019	International	Deliverables: 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).

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	2Q 2018	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	2Q 2019	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	2Q 2019	National	Refers to 1 policy brief related with the deliverables of activity 2.2.

2.2	Training	Workshops	\$6,000	RFQ	2Q 2019	National	Refers to 2 workshops (each one with a duration of 1 and half days and 25 local participants) to present results of studies of output 2.2 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.
2.3	Local Consultant	IC 2.3 Develop valuation studies of climate change adaptation options.	\$25,000	RFQ	3Q 2019	National	Deliverables: 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 point 3.1.1); and iv) gender (activity 2.3.1).
2.3	Travel	Bus tickets	\$600	micro purchase	3Q 2019	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 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	3Q 2019	National	Refers to 1 policy brief related with the deliverables of activity 2.3.
2.3	Training	Workshops	\$3,000	micro purchase	3Q 2019	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present results of studies of output 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.
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	1Q 2020	National	Deliverables: 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).

2.4	Travel	Bus tickets	\$600	micro purchase	1Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 2.4 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 2.4 Training.
2.4	Audio Visual & Print Prod Cost	Policy brief publications	\$2,500	micro purchase	1Q 2020	National	Refers to 1 policy brief related with the deliverables of activity 2.4.
2.4	Training	Workshops	\$3,000	micro purchase	1Q 2020	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the NAP draft (under output 2.4) 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 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	2Q 2019	National	Deliverables: 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	2Q 2019	National	Refers to office material necessary for the different activities of the Project during 3 years
2.5	Travel	Bus tickets	\$600	micro purchase	2Q 2019	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 2.5 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	2Q 2019	National	Refers to 1 policy brief related with the deliverables of activity 2.5.
2.5	Training	Workshops	\$3,000	micro purchase	2Q 2019	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present the guidelines of output 2.5 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	4Q 2019	National	Deliverables: 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	1Q 2018	National	Duties and functions are described in Budget Notes. Full time for 3 years.
3.1	Travel	Bus tickets	\$600	micro purchase	4Q 2019	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 3.1 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 3.1 Training.
3.1	Audio Visual & Print Prod Cost	Policy brief publications	\$1,000	micro purchase	4Q 2019	National	Refers to 1 policy brief related with the deliverables of activity 3.1.

3.1	Supplies	Supplies for workshops and copies	\$1,500	micro purchase	4Q 2019	National	Refers to office material necessary for the different activities of the Project during 3 years
3.1	Training	Workshops	\$3,000	micro purchase	4Q 2019	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 output 3.1.1) 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 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	1Q 2020	National	Deliverables: 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	1Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 3.2 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	1Q 2020	National	Refers to 1 policy brief related with the deliverables of activity 3.2.

3.2	Training	Workshops	\$3,000	micro purchase	1Q 2020	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 output 3.2.1) 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 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	3Q 2019	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	3Q 2019	National	Refers to bus tickets for 15 people in each workshop (travellers) who will participate in 3 workshops of output 3.3 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	3Q 2019	National	Refers to 1 policy brief related with the deliverables of activity 3.3.

3.3	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 the technical documents of output 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	2Q 2020	National	Deliverables: 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	2Q 2020	National	Refers to air tickets for 15 people (travellers) who will participate in 1 international workshop of output 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.
3.4	Audio Visual & Print Prod Cost	Policy brief publications	\$2,000	micro purchase	2Q 2020	National	Refers to 1 policy brief related with the deliverables of activity 3.4.

3.4	Training	Workshops	\$6,000	RFQ	2Q 2020	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 output 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	1Q 2020	National	Deliverables: 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	1Q 2018	National	Duties and functions are described in Budget Notes. Full time for 3 years.

4.1	Travel	Bus tickets	\$600	micro purchase	1Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 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	1Q 2020	National	Refers to 1 policy brief related with the deliverables of activity 4.1.
4.1	Training	Workshops	\$3,000	micro purchase	1Q 2020	National	Refers to 1 workshop (with a duration of 1 and half days and 25 local participants) to present results the MRV System of output 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	1Q 2018	National	Duties and functions are described in Budget Notes. Full time for 3 years.

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	2Q 2020	National	Deliverables: 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	2Q 2020	National	Refers to bus tickets for 15 people (travellers) who will participate in 1 workshop of output 5.1 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 5.1 Training.
5.1	Audio Visual & Print Prod Cost	Policy brief publications	\$3,000	micro purchase	2Q 2020	National	Refers to 1 policy brief related with the deliverables of activity 5.1.
5.1	Training	Workshops	\$3,000	micro purchase	2Q 2020	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 output 5.1) 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 a funding and sustainability strategy of the NAP.

PMC	Service Contract	Project coordinator proportional	\$66,096	Competitive Process	1Q 2018	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	'Laptops and other technological equipment required for the Project Unit (2 laptops for Project Coordinator and Assistant).	\$3,950	micro purchase	1Q 2018	National	Refers to technology equipment necessary for the NAP team.
PMC	Professional Services	Audit	\$6,000	RFQ	3Q 2018, 3Q 2019, 3Q 2020	National	Refers to the cost of undertaking an audit.

Disbursement schedule

This readiness grant is expected to start implementation in 2018, for a 36-month period.

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

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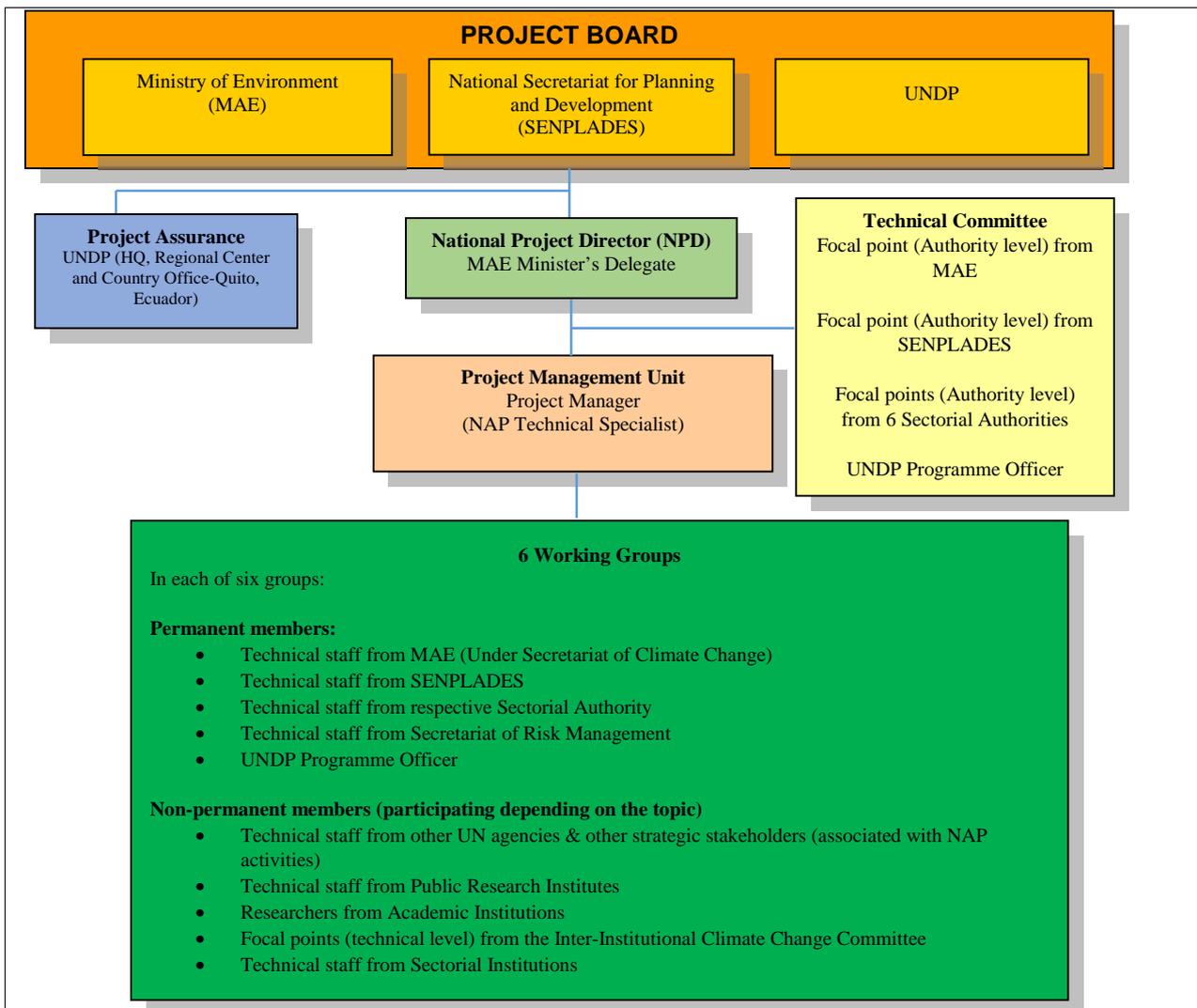
SECTION 6: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

Please attach an “implementation map” or describe how funds will be managed by the NDA/FP or delivery partner

If the entity implementing the readiness support is not an accredited entity of the GCF, please complete the Financial Management Capacity Assessment (FMCA) questionnaire (URL) and submit it with this proposal.

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 Assistants. 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 Board³² 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

³² Sample ToR for Project Board: http://cfapp2.undp.org/gef/documents/1/g5710/g2_20672/PIMS3603TORProjectBoard.pdf

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.

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

Other relevant information

This box provides an opportunity to include any important information you wish to bring to the attention of the GCF Secretariat, but did not have an opportunity to provide in the sections above.

The project will be conducted with very extensive consultations at the national and local levels to guarantee a participative approach and prevent the building of social problems. 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.

The NAP process asserts a gender inclusive 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-sensitive initiatives for further implementation. Activities 1.2, 1.3 and 2.4 (among others) will strengthen gender mainstreaming in the project.

This project will be directly aligned with the gender policy of the GCF which identifies six priority areas to implement its policy, namely: (i) governance and institutional structure; (ii) operational guidelines; (iii) capacity building; (iv) outputs, outcomes, impacts and paradigm-shift objectives used for monitoring, reporting and evaluation; (v) resource allocation and budgeting; and (vi) knowledge generation and communications. The project, by covering a large range of areas of adaptation, will address these six priorities and put an emphasis on addressing gender inequality along its implementation and operationalisation.

The sustainability of this project will be ensured through the establishment of a country driven methodology and the institutionalisation of the NAP process through corresponding normative instruments (as outlines in output 1), 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 (output 5) 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.

SECTION 7: ARRANGEMENTS FOR MONITORING, REPORTING AND EVALUATION

Please provide project- /programme-specific institutional setting and implementation arrangements for monitoring and reporting and evaluation. Please indicate how the interim/mid-term and final evaluations will be organized, including the timing.

Project-level monitoring and evaluation (M&E) 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 standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

M&E oversight, results monitoring and reporting 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 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 standard. The Project Manager monitor the project progress and report the results to the stakeholders.

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: UNDP will retain all records for this project for up to seven years after financial closure to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF. UNDP is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the Project Manager. UNDP will initiate and organize key M&E activities including the Annual Project Report, the independent mid-term review and the independent terminal evaluation. UNDP will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office and the project team 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.

UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional support for M&E and implementation oversight, quality assurance and troubleshooting will be provided by the designated UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as outlined in the management arrangement section above.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.³³ Additional audits may be undertaken at the request of the GCF.

Additional monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- 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 (Ref to pre-identified "Risk Assessment Summary", which will be included in the inception report);
- g) review financial reporting procedures and mandatory requirements, and agree on the arrangements for the audit; and
- h) plan and schedule Project Board meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception workshop report no later than one month after the inception workshop. The

³³

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

inception workshop report will be cleared by the UNDP CO and the UNDP-GEF Regional Technical Advisor, and will be approved by the Project Board.

Annual Project Report: The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective inputs to the 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 annually in advance so that progress can be included in the report. Any environmental and social risks and related management plans will be monitored regularly, and progress will be included in the report.

The Annual Project Report will be shared with the Project Board. UNDP will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

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.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal 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 Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE 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 to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Advisor, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

Final Report: The project's final Annual Project Report along with the terminal evaluation (TE) 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.

Annex 1 – Deliverables development timeline

DELIVERABLE (the month of deliverable completion is indicated with a *)	YEAR																																					
	2018												2019												2020													
	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec		
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)																															*							

DELIVERABLE (the month of deliverable completion is indicated with a *)	YEAR																																									
	2018												2019												2020																	
	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec	jan	feb	mar	apr	may	jun	Jul	aug	sep	oct	nov	dec						
NAP - Final version (activity 2.4.3)																																		*								
Three technical guidelines to integrate CCA into development planning processes (activity 2.5.1)																						*																				
Prioritization criteria list for CCA actions (activity 3.1.1)																										*																
Implementation strategy for prioritized adaptation actions (activity 3.2.1)																															*											
Six technical standards to facilitate the integration of CCA in sectoral development planning processes (activity 3.3.1) / Two technical guides to facilitate the design and implementation of CCA actions (activity 3.3.2)																										*																
Proposal of synergies between NAP with other CCA plans, projects and initiatives at regional level (activity 3.4.1)																														*												
Measurement, reporting and verification (MRV) system for the NAP process (activity 4.1.1)																															*											
Annual Reports (activity 4.2.1)																																										*
Financing and sustainability strategy for the NAP process (activity 5.1.1)																															*											
Project closing activities																																										*

Annex 2 – Specific Budget Plan by Year

GCF Readiness NAP Output	ATLAS Budgetary Account Description	Amount US\$ (year 1)	Amount US\$ (year 2) - 1st semester	Amount US\$ (year 2) - 2nd semester	Amount US\$ (year 3)	Total Amount US\$
GCF NAP Ecuador Output 1	International Consultants	\$45,000				\$45,000
	Local Consultants	\$25,000				\$25,000
	Contractual Services - Individuals	\$12,056				\$12,056
	Contractual Services-Companies	\$228,000				\$228,000
	Travel **	\$15,750				\$15,750
	Supplies	\$500				\$500
	Audio Visual & Print Prod Costs	\$4,000				\$4,000
	Training, Workshops and Conferences ***	\$21,000				\$21,000
Total Output 1		\$351,306	\$0		\$0	\$351,306
GCF NAP Ecuador Output 2	Local Consultants			\$75,000		\$75,000
	Contractual Services-Companies	\$300,000	\$512,500		\$608,096	\$1,420,596
	Contractual Services - Individuals	\$36,169	\$18,085	\$18,085	\$36,169	\$108,507
	UN Volunteers	\$17,782	\$8,891	\$8,891	\$17,782	\$53,346
	Travel **	\$6,750	\$3,375	\$3,375	\$4,500	\$18,000
	Supplies	\$500	\$500	\$500	\$1,000	\$2,500
	Audio Visual & Print Prod Costs	\$4,000	\$2,000	\$2,000	\$4,000	\$12,000
	Training, Workshops and Conferences ***	\$9,000	\$4,500	\$4,500	\$6,000	\$24,000
Total Output 2		\$374,201	\$549,851	\$112,351	\$677,547	\$1,713,949
GCF NAP Ecuador Output 3	Local Consultants			\$60,000	\$30,000	\$90,000
	Contractual Services - Individuals			\$24,113	\$12,056	\$36,169

	Contractual Services-Companies			\$70,000	\$70,000	\$140,000
	Travel **			\$9,000	\$17,250	\$26,250
	Supplies			\$1,000	\$500	\$1,500
	Audio Visual & Print Prod Costs			\$4,000	\$2,000	\$6,000
	Training, Workshops and Conferences ***			\$12,000	\$9,000	\$21,000
Total Output 3				\$180,113	\$140,806	\$320,919
GCF NAP Ecuador Output 4	Local Consultants				\$30,000	\$30,000
	Contractual Services - Individuals				\$12,056	\$12,056
	Travel **				\$2,350	\$2,350
	Audio Visual & Print Prod Costs				\$1,000	\$1,000
	Training, Workshops and Conferences ***				\$3,000	\$3,000
Total Output 4					\$48,406	\$48,406
GCF NAP Ecuador Output 5	Contractual Services - Individuals				\$12,056	\$12,056
	Contractual Services-Companies				\$70,000	\$70,000
	Travel **				\$2,342	\$2,342
	Audio Visual & Print Prod Costs				\$3,000	\$3,000
	Training, Workshops and Conferences ***				\$3,000	\$3,000
Total Output 5					\$90,398	\$90,398
Project management costs	Contractual Services – Individuals ****	\$22,032	\$11,016	\$11,016	\$22,032	\$66,096
	Information Technology Equipment	\$3,950				\$3,950
	Professional Services	\$2,000	\$1,000	\$1,000	\$2,000	\$6,000

Total Project management costs		\$27,982	\$12,016	\$12,016	\$24,032	\$76,046
Contingency Costs		\$42,083	\$21,041	\$21,041	\$42,083	\$126,249
Total operation costs (Outputs 1+2+3+4+5+Contingency Costs)		\$767,590	\$570,892	\$313,505	\$999,240	\$2,651,227
Total project costs (Operations Costs + PMC)		\$795,572	\$582,908	\$325,521	\$1,023,273	\$2,727,273
GMS Fee 10%		\$79,557	\$58,291	\$32,552	\$102,327	\$272,727
TOTAL PROJECT COSTS		\$875,129	\$641,199	\$358,073	\$1,125,600	\$3,000,000
		\$1,516,328		\$1,483,673		
		50.54%		49.46%		

Annex 3 – Theory of Change Diagram

