

Readiness Proposal

with Food and Agriculture Organization (FAO) for the Republic of Ecuador

28 February 2022 | Capacity Building, Strategic Frameworks and Knowledge Sharing and learning



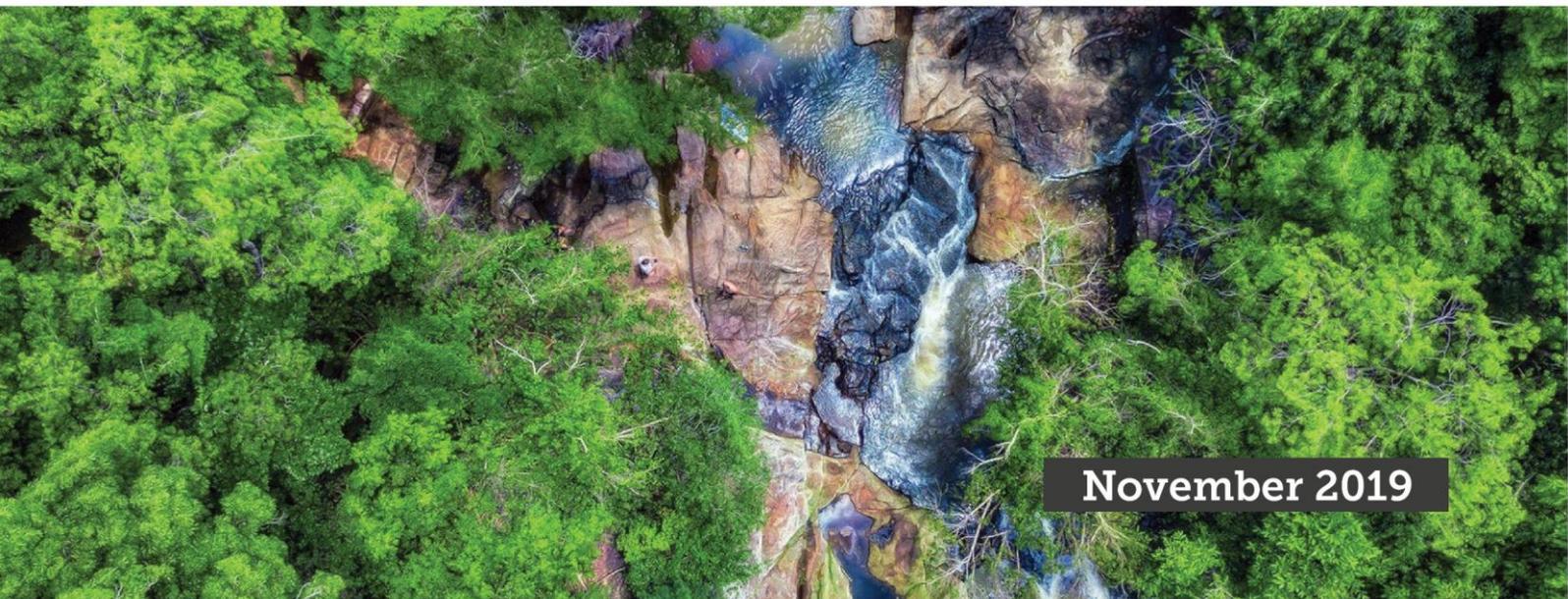
**GREEN
CLIMATE
FUND**

READINESS & PREPARATORY SUPPORT

PROPOSAL TEMPLATE



Proposal title:	Development of an effective governance framework for the implementation of the NDC in the health, food, and water security sectors in Ecuador
Country:	Ecuador
National designated authority:	Ministry of Environment, Water and Ecological Transition (MAATE)
Implementing Institution:	Food and Agriculture Organization (FAO)
Date of first submission:	30 June 2021
Date of current submission / version number	25 February 2022 V.6



November 2019

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Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult Annex IV of the Readiness Guidebook for more information.

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1. SUMMARY

1.1 Country submitting the proposal	Country name: Ecuador Name of institution representing NDA or Focal Point: Ministry of Environment, Water and Ecological Transition (MAATE) Name of contact person: Karina Barrera Contact person's position: Undersecretary of Climate Change Telephone number: + (593 2) 398 7600 • Ext. 1302 Email: Karina.barrera@ambiente.gob.ec Full office address: Madrid 1159 y Andalucía, Quito-Ecuador Additional email addresses that need to be copied on correspondences: gabriela.vargas@ambiente.gob.ec
1.2 Date of initial submission	30 June 2021.
1.3 Last date of resubmission	25 February 2022
1.4 Which institution will implement the Readiness and Preparatory Support project?	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="flex: 1;"> <input type="checkbox"/> National designated authority <input checked="" type="checkbox"/> Accredited entity <input type="checkbox"/> Delivery partner </div> <div style="border: 1px solid #ccc; padding: 2px 5px; font-weight: bold; color: #008000;">Version number</div> <div style="flex: 0.5; text-align: right;">V.6</div> </div> Name of institution: Food and Agriculture Organization (FAO) Name of official: Elizabeth A. Bechdol Position: Deputy Director-General Telephone number: +39 06 57051800 Email: DDG-Bechdol@fao.org ; OCB-director@fao.org Full office address: Food and Agriculture Organization of the United Nations (FAO) Viale delle Terme di Caracalla, 00153 Rome, Italy Aqustin.zimmermann@fao.org fao-ec@fao.org Sergio.HinojosaRamos@fao.org Mariamercedes.proano@fao.org
1.5 Title of the Readiness support proposal	Development of an effective governance framework for the implementation of the NDC in the health, food, and water security sectors in Ecuador
1.6 Type of Readiness support sought	<input checked="" type="checkbox"/> I. Capacity building <input checked="" type="checkbox"/> II. Strategic frameworks <input type="checkbox"/> III. Adaptation planning <input type="checkbox"/> IV. Pipeline development <input checked="" type="checkbox"/> V. Knowledge sharing and learning

1.7 Brief summary of the request

Ecuador is one of the countries most affected by the effects of climate change, since any increase in the intensity of climate threats such as droughts and floods implies imbalances in natural ecosystems, therefore, affectations in the provision of water for food crops and spread of tropical diseases such as dengue and malaria.

According to the future climate projections made by the Third National Communication on Climate Change of Ecuador, they show that, if the current trend of temperature continues, the change that could be expected in Ecuador would be approximately an increase of 2°C until the end of the century; and, even, the Amazon and Galapagos would present increases higher than this value.

The Nationally Determined Contribution (NDC) presented by Ecuador aims to implement policies, actions and efforts that promote the reduction of greenhouse gases, the increase of resilience and decrease vulnerability to the adverse effects of climate change in the sectors prioritized in the National Climate Change Strategy. The adaptation component of the NDC includes the water food security and health sector. The NDC implementation plan has prioritized 21 activities in the food security sector, 12 activities, in the health sector and 16 activities in the water sector. Most of the activities are relates to the mainstreaming of climate change in policy instruments and regulatory framework, capacity building and the development of research and technical tools for the three sectors.

In addition, Ecuador has regulatory and institutional frameworks such as the Organic Environmental Code (COA), the National Climate Change Strategy (ENCC), the National Climate Finance Strategy (EFIC) and the National Adaptation Plan (PLANACC) as well as other guidelines and handbook with technical guidelines on climate risk methodologies and gender¹ approach. In addition, the country has an Undersecretariat for Climate Change, which is responsible for public policy in this matter, which belongs to the Ministry of Environment, Water and Ecological Transition, the National Designated Authority.

The country's main challenge is to activate, operationalize and articulate its regulatory enabling framework, administrative processes and public policy instruments that allow the implementation and integration of climate change actions identified and prioritized in its NDC.

For this Readiness proposal, the following technical and administrative barriers have been identified that hinder the implementation and integration of climate change adaptation actions for the health, food security and water sectors considered in the NDC and implementation plan.

- a) Low technical and administrative capacities for the management of climate finance in national, national, and local institutions that have the competence to implement adaptation actions in the health, food security and water sectors.
- b) Weak governance to integrate and identify synergies and complementarities between the health, food security and water sectors, for the effective implementation of the adaptation section of the NDC.
- c) Absence of studies and technical tools developed by the Ministry of Agriculture, the Ministry of Health, the Vice Ministry of Water, and subnational governments, which allow the incorporation of climate change variables in their public policies and allow the integration of the health, food security and water sectors.
- d) There are no communication mechanisms to exchange information and manage knowledge on good climate practices in the health, food security and water sectors.

The main objective of this Readiness proposal is to strengthen governance² and its institutional frameworks, through a process of capacity building, development of management tools for the inclusion of climate criteria in sectoral public policy and communication strategies, which allow integrate and generate synergies in

¹ MAAE, GIZ, PNUD, (2020). Guía Técnica para la Integración del Enfoque de Género en la Gestión de Cambio Climático en Ecuador. Quito-Ecuador, julio 2020.

² For this readiness proposal, the concept and its technical framework of water governance have been taken as a strategic mechanism to integrate the health, food security and water sectors

the health, food security and water sectors, which have been prioritized in the adaptation component of the NDC.

The proposed products are:

1. Action plan designed and implemented to strengthen technical and administrative capacities for the execution and integration of climate change adaptation measures defined in the NDC and its implementation plan, for the health, food security and water sectors, considering their climate finance management.
2. Effective governance, institutional arrangements and management instruments designed and implemented to integrate the health, food security and water sectors, allowing climate criteria to be incorporated into sectoral public policies and managing climate financing processes. In addition, the gender approach is incorporated into each tool developed.
3. Communication strategy that allows the dissemination of information and knowledge transfer, at local and national level, of the identified good climate practices that have integrated adaptation measures in the health, food security and water sectors.

The main beneficiaries and actors of this proposal are the Ministry of Environment, Water and Ecological Transition, the Ministry of Agriculture, the Ministry of Health, the Ministry of Environment, Water and Ecological Transition with its Vice Ministry of Water, the Development Bank of Ecuador, local water funds, basin councils, strategic communities, local drinking water authorities and local irrigation authorities.

The implementation of this Readiness proposal will allow Ecuador to have an efficient governance that will integrate the health, food security and water sectors, strengthening its sectoral and institutional technical processes for the execution of the adaptation measures defined in its NDC and implementation plan. Finally, the proposal has only considered the administrative and technical enabling processes that allow the implementation of some measures to adapt the NDC, for the health, food security and water sectors. With this knowledge acquired, it will serve to replicate the processes and knowledge for other sectors of the adaptation and mitigation component of the NDC and its implementation plan.

1.8 Total requested amount and currency

USD. 682,791

1.9 Implementation period

18 months

1.10 Is this request a multiple-year strategic Readiness implementation request?

- Yes
- No

1.11 Complementarity and coherence of existing readiness support

- Yes
- No

By the date of submission of this readiness proposal, Ecuador has presented 8 requests for readiness and preparatory support from the GCF, and other national programs and project were implemented by government.

For this readiness request, information will be taken from four readiness proposals that are related to strengthening processes, generation of guidelines and handbooks, and knowledge exchange. These proposals are mapped in the table below:

Title	Summary	Delivery partner	Status	Activities related to this Readiness Proposal
<p>"Post COVID-19 Green Recovery for Food, Health, and Water Security strengthened by financial and technological innovations in Latin-American countries" LAC-RS-010</p>	<p>The proposal focuses on the importance of designing green and resilient recovery efforts for food security in Latin America. The global pandemic of COVID-19 affected the food sector with job losses, income reduction and mainly affected farmers. Thus, this situation allowed accelerating transformations against challenges such as climate change. That is why this proposal allows strengthening bases where investments for the reduction of greenhouse gas (GHG) emissions are prioritized along with technologies that accelerate economic recovery, job creation, and improve farmers' life quality.</p>	IICA	Under implementation	<p>This proposal will use the methodological tools for the design of policies, frameworks and institutional capacities that allowed the integration of the health, food security and water sectors; and the technical experiences of the other countries (Brazil, Argentina, Peru, Uruguay, Bolivia, Colombia, and Mexico). In addition, it will take the experiences and tools for knowledge improvement and digital platforms for dissemination of information regarding food and nutrition security.</p>
<p>"Generation of a Conceptual Framework for the National Climate Change Registry of Ecuador (RNCC) and Design of a Beta Version of the Measuring, Reporting and Verification (MRV) system as part of the RNCC" ECU-RS-005</p>	<p>This proposal aims to determine components of the RNCC and develop essential tools to operationalize MRV system, focused on the NDC, including modalities, procedures, methodologies, and guidelines. Thus, the grant will establish an MRV system, which will allow to monitoring NDC mitigation and adaptation efforts, as well as national and international climate finance. Not only will it allow Ecuador to monitor climate action and compliance progress, but it will also inform decision makers at different levels. The RNCC will focus on advancing transparency of climate change related data in Ecuador, benefiting sectoral government institutions.</p>	FAO	Under implementation	<p>This proposal will have the opportunity to test digital MRV platforms of the NDC and RNCC generated, and could also take the methodologies, tools and guidelines for monitoring adaptation activities for health, food security and water sectors. On the other hand, the information generated by this Readiness will feed the RNCC information base.</p>
<p>"Enhance the capacity of Decentralized Autonomous Governments to access and manage climate finance in Ecuador and contribute to the implementation of the NDC" ECU-RS-003</p>	<p>The main objective of the proposal is to strengthen the capacities of the Decentralized Autonomous Governments (GAD) to access climate finance from the GCF and other resources for climate-related activities implementation. Similarly, provincial authorities will have the capacity to contribute to the implementation of country's</p>	Avina Foundation	Finalized	<p>This proposal will take the methodologies, tools and will rely on capacities strengthened in subnational governments (Provincial level), to identify best climate practices related food security and water. In addition, networking will be carried out with the identified local actors and institutional spaces generated with local</p>

	NDC. The participation of local authorities is important to generate effective country ownership, therefore support is needed to create tools to strengthen the monitoring and evaluation of projects, programs, and proposals on climate change.			governments and strategic actors will be recaptured. The main information that will be used by this proposal is related to irrigation and productive systems.
"Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador" GG-1801-15043`	This proposal focuses on the objectives and priorities of the Constitution of Ecuador, National Development Plan, also on the identification of gaps and needs of several national institutions and agencies that have shown interest in integrating climate change adaptation from the initial workshop organized in February 2017. The purpose is to support the Government of Ecuador in the development of studies, methodologies, indicators, policies and capacity building programs and tools to integrate climate change adaptation into development planning at the sectoral, territorial and local levels with a cross-cutting approach.	UNDP	Under implementation	This proposal will use the climate risk methodology to assess the threats to the health, food security and water sectors. It will also update and evaluate the technical tools used in the PLANACC (National Adaptation Plan) for the mainstreaming of the climate change variable in public policy and planning instruments for health, food security and water sectors. Finally, it will take the strategic lines of financing and information management for the sectors mentioned.
National Healthy Municipalities Program	The objective is to promote that the Municipal Governments comprehensively address the factors that influence the health status of the population, improving the well-being, and quality of life of citizens. The program should sensitize municipalities about the social and environmental determinants of health, certifying them as healthy and generating conditions so that they can execute projects, policies, legal framework and actions that have a positive impact on health that contribute to maintaining and improving the living conditions of their inhabitants.	Ministry of Public Health-MSP	Under implementation	This proposal will use the information generated by National Healthy Municipalities Program. In the same way, it will use the spaces of institutional articulation generated by this program and strategic networking that the Ministry of Health has with national and subnational institutions.
National Water Schools Program	Promote the strengthening of capacities for actors and technicians in integrated management of water resources in a multimodal, multilevel and	Ministry of Environment, Water and Ecological Transition	Under implementation	This Readiness could use the technical information and databases generated by this institutional initiative. The local communities recognize the water schools

	multidimensional way, in synergy and articulation with academia, institutions, national organizations and international cooperation			as spaces for capacity building and meeting spaces to make decisions, consequently this proposal could use this networking of articulation and coordination with local water associations and institutions.
National entomological surveillance program	Dengue, Zika and Chikungunya are among the main arboviruses that affect public health. These diseases are transmitted by vectors, which represent a global threat due to their wide distribution throughout the world. Among these vectors, mosquitoes are the most common in transmitting a wide variety of infectious diseases to both animals and humans. <i>Aedes aegypti</i> and <i>Aedes albopictus</i> are two important vector species of public health importance. These two species of mosquitoes have a wide range of distribution and a great capacity to transmit arboviruses. Species monitoring has been carried out by the CRNV since 2017, with preliminary information on the distribution of vectors.	INSPI – REDNALAENT - MSP	Implementation phase	This program has been executed with the personnel of the National Network of Entomology Laboratories, which carry out the monitoring of <i>Aedes aegypti</i> and <i>Aedes albopictus</i> species. Arbovirus vector collection manuals have been established. In the first phase of the project, preliminary maps of the distribution of <i>Aedes aegypti</i> and <i>Aedes albopictus</i> have been monitored. The tools and data of this program to improve the preliminary records obtained are able to relate to other climatic variables and design risk maps.

Spanish Acronyms	English Description
APH	Water Protection Areas
COA	Organic Environmental Code
CODEMPE	Council of Indigenous Nationalities and People
ENCC	National Climate Change Strategy
EFIC	National Climate Finance Strategy
FAO	Food and Agriculture Organization
FPIC	Free Prior and Informed Consent
FONAG	Fondo para la protección del Agua
FONAPA	Fondo del Agua para la Conservación de la Cuenca del Río Paute
FODAGUA	Fondo para la Conservación del Agua de Guayaquil
GAD	Decentralized Autonomous Governments
GCF	Green Climate Fund

GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GHG	Greenhouse gas
IP	Implementation Plan
IICA	Instituto Interamericano de Cooperación para la Agricultura
INSPI	Instituto Nacional de Investigación en Salud Pública
LORHUYA	Organic Law of Water Resources, Uses and Development and its regulations
MAGAP	Ministry of agriculture and animal husbandry
MAAE	Ministry of Environment and Water of Ecuador.
MAATE	Ministry of Environment, Water and Ecological Transition
MRV	Measuring, Reporting and Verification
MSP	Ministry of Health
NDC	Nationally Determined Contribution
NPC	National Project Coordinator
PLANACC	National Adaptation Plan
PMU	Project Management Unit
RNCC	National Climate Change Registry of Ecuador
SENAGUA	Secretaría Nacional del Agua (hasta 2020)

2. SITUATION ANALYSIS

Situation of Ecuador in the face of climate change

Ecuador due to the influence of the Andes Mountain range, Amazon basin, maritime currents of El Niño and Humboldt and Andean Chocó, its ecosystems are diverse and sensitive, therefore, it is highly vulnerable to the effects produced by the intensity of climatic threats such as floods and droughts. This increase and decrease in the quantity and quality of water resources could result in a decrease in the productivity of the agricultural sector and the spread of tropical diseases such as malaria.

Ecuador climate protections for the temperature variable³

For example, the impacts occur most intensely in the Sierra del Ecuador, where communities and their ecosystems are vulnerable to climate risks. In recent years there have been sustained increases in temperature, changes in the frequency and intensity of extreme events (droughts, floods, frosts), changes in the hydrological regime and retreat of glaciers. The analysis of trends and extreme weather events based on observed data on precipitation and maximum, average, and minimum temperatures for the period 1981-2015, showed increases in much of the Sierra in 13% of precipitation and an increase of 1.1°C of the average temperature.

In the period 2011-2040 under the RCP 4.5 scenarios – RCP 8-5, the temperature would be between 0.74°C and 0.75 °C for Ecuador, with greater increases in Galapagos (0.75°C - 1°C). By mid-century, for the period 2041 – 2070 under the scenarios RCP 4.5 - RCP 8.5, the change would be from 0.9°C to 1.7°C, with the largest changes being those of the Amazon (1.7°C - 2.1°C) and Galapagos (1.5°C - 2.5°C). Finally, for 2071-2100 under the RCP 4.5 – RCP 8.5 scenarios, the average temperature would increase between 1,8°C and 2.8 °C, for the country,

³ Ministerio de Ambiente. 2015. Tercera Comunicación Nacional de Cambio Climático.

however, the Amazon and Galapagos would present higher increases, of the order of 2.3°C to 3.5°C and 2.3°C to 4.4°C, respectively.

Ecuador climate projection for the precipitation variable

In the drier months of the provinces of the mountains, the variation in temperature and dry conditions are greater (reduction of precipitation) and mainly affect the predictability of the availability of water in quantity and quality. The climate change projections of the Third National Communication on Climate Change also show that between the decade of the 80s (1981-1991) and the first decade of this century (2005-2015) there was a decrease in the volume of precipitation in the September-November period in the central highlands of the country.

For the period 2011 – 2040 under the RCP 4.5 – RCP 8.5 scenario an increase in precipitation from 3.3% to 4.8% at the country level, in Galapagos with increases that could reach up to 24.6%. Likewise, for the period 2041 – 2070 in the RCP 4.5 – RCP 8.5 scenarios, the range goes from 5.8% to 9.6%. Finally, for the period 2071 – 2100, the increase would reach on average up to 15.6% increase in precipitation at the country level.

Climate risk analysis indicates that water, agriculture (farmers) and ecosystems have a high level of exposure, sensitivity and limited adaptive capacity to cope with the impacts of climate change. The impacts of climate change in much of the Ecuadorian highlands are mainly reflected in the supply of water, affecting ecosystems, agriculture and health, in general in the livelihoods of the communities. **The water sector as a strategic pillar for sustainable development**

According to the NDC⁴ submitted by Ecuador, the main changes observed in precipitation, average temperature, and maximum and minimum temperatures in the country in the period 1960 - 2010 show temperature increases of 1.4°C. In addition, glaciers have lost 50% of their glacier surface area during the last century. Based on the future climate projections of the Third National Communication on Climate Change, if this temperature trend continues, the change could reach 2°C by the end of the century, including in the Amazon and the Galapagos Islands.

According to National Water Plan⁵, in 2010, water consumption in Ecuador was 15.80 km³, including 13.05 km³ for agricultural use. By 2025, it is estimated that total water demand will rise to 20.32 km³, of which 16.80 km³ will correspond to water for agricultural use. In contrast, according to projections in the national plan of water resources, by 2025 there will be a deficit of 8.28 km³ to cover all sectors. This demonstrates a realistic constraint in water availability harshened by a climate change scenario.

Based on information from the NDC, it is mentioned that 88% of the Ecuadorian population lives in the Pacific basin, but in this area water availability is limited and only 31% of water resources are found there. Similarly, nationally, 80% of the population has water access and 64.5% has some type of sanitation; however, in rural areas, these figures decrease to less than 40% coverage in communities of less than 200 families. Climate change is expected to exacerbate these conditions, worsening the population's access to water, especially in the most vulnerable areas.

It is expected that impacts related to extreme precipitation excess could occur in the coastal and Andean regions, mainly in the central and southern zones, while those related to the precipitation shortage period would be accentuated in the central coastal zone and in the central and southern zones of the highlands.

According to WRI Aqueduct (2019), water stress in Ecuador is located in the west of country, especially in the coast region and the southwest of the sierra region.⁶ This indicator shows competition for water resources and is defined informally as the ratio of demand for water by human society divided by available water. It measures the ratio of total water withdrawals to available renewable surface and groundwater supplies.

Manabí and Guayas are the main provinces with the greatest presence of extremely high level (>80%) of water stress, which is higher in the borders between the two provinces.. For the rest of the territory there is only low level (<10%) of water stress.

⁴ Primera Contribución Determinada a Nivel Nacional para el Acuerdo de París bajo la Convención Marco de Naciones Unidas sobre Cambio Climático (2019)

⁵ SENAGUA (2018). Plan Nacional del Agua

⁶ WATER RISK ATLAS. https://www.wri.org/applications/aqueduct/water-risk-atlas/#/?advanced=false&basemap=hydro&indicador=bws_cat&lat=-2.8715703455493142&lng=-82.1381261944771&mapMode=view&month=1&opacity=0.5&ponderation=DEF&predefined=false&projection=absolute&scenario=optimistic&scope=baseline&timeScale=annual&year=baseline&zoom=6

Concerning water depletion, which consider the ratio of total water consumption to available renewable water supplied, levels in Ecuador are mostly low (<5%), however, the south and central west of coast region it shows a low medium level (5%-25%), and in the south of Manabí's province there is a medium high level (25%-50%).

It is important to consider that, according to WRI Aqueduct (2019) data, water depletion is like baseline water stress; however, instead of looking at total water withdrawal (consumptive plus non consumptive), baseline water depletion is calculated using consumptive withdrawal only.

Concerning the unimproved/no drinking water indicator of the WRI Aqueduct (2019) most of the territory is in the *high* category which means that 10-20 % of the population collects drinking water from an unprotected dug well or spring, or directly from a river, dam, lake, pond, stream, canal, or irrigation canal. Part of south and east territory (close to Peru border) has extremely high level (<20%). Medium-high level (5-10%) is in Northwest of country in between provinces Esmeraldas, Santo Domingo and Quito. Finally low-medium level (2.5%-5%) is in a small part of Guayas Province, nearly to the gulf of Guayaquil.

According to the National Water Plan, intense droughts have affected the agricultural area by 2.03 million ha, which constitutes 66.7% of the country's total agricultural area. The cultivated pasture area, affected by the drought, reached 2.10 million ha, or 53.7% of the total pasture area. In fact, agriculture is the economic sector where water scarcity is most relevant. Today, agriculture is responsible for 70% of freshwater withdrawals and more than 90% of its consumptive use (FAO, 2021).⁷

Thus, while the availability of water is suffering a severe decrease, the demand of the agriculture sector is on the rise. Precipitation and temperature patterns also affect water availability. According to Ministry of Agriculture⁸, it was estimated that, by 2030, if temperature increases by 2°C and rainfall is reduced by 15%, food supply could be seriously affected, especially that of rice and potatoes, which are important crops for domestic consumption. Rural areas will be the most affected where the prevalence of wasting in children under five years is 28,7%.

In reference to national communication of climate change of Ecuador, the relationship of water and health sector are evident and can be observed by the presence of diseases, like the ones transmitted by the *Aedes aegypti* mosquito species, which reproduces in conditions of high humidity and the impoundment of rainwater and wastewater without any treatment. The prevalence of these diseases is higher in rural areas, where there are no adequate sanitation systems, which facilitates their multiplication. Similarly, gastrointestinal diseases are the result of the poor water quality for human consumption and deficient drinking water and sanitation systems.

The water sector has a substantial contribution in increasing access to clean drinking water and sanitation. In the world billions of people—mostly in rural areas—still lack these basic services. That is why, through the Sustainable Development Goals (SDG) — water and sanitation for all, SDG 6, is looking to access to these services, including water and soap for handwashing, is fundamental to human health and well-being (UN Water, 2021)⁹.

In Ecuador 70.1% of the population has access to safe drinking water and 21.8% has basic access, 85.9% of people have basic sanitation, 85.5% of the population nationwide has a facility to wash their hands with water and soap, 1.8% of people do not have hygienic service at the national level, 5.7% of people in the rural sector do not have this service and 10.4% have limited sanitation services allowing INEC, 2017¹⁰.

Thus, the most sensitive sectors for these occurrences in precipitation and temperatures would be the water sector (due to water deficit and surplus conditions in the water basins); the food security sector (food production, prices and access to food would be affected), and finally, and the health sector (due to the increase in diseases and epidemics, exacerbated by climatic alterations, since the transmission vectors would expand their distribution ranges to new altitudinal levels).

Regulatory framework and public policy on climate change

Ecuador is one of the countries in Latin America and the Caribbean with a regulatory and public policy framework most related to conservation of natural resources, sustainable development, and climate change. Thus, article 414 of the 2008 Constitution states that the Government will be responsible for adopting adequate and transversal measures to reduce climate change effects and protect the most vulnerable population.

⁷ FAO, 2013. <https://www.fao.org/3/i3015s/i3015s.pdf>

⁸ MAGAP/GIZ/PROCambio 2017, Buenas Prácticas Agrarias para enfrentar el Cambio Climático en Ecuador

⁹ UN Water, (2021). Summary Progress Update 2021: SDG 6 — water and sanitation for all JULY 2021.

<https://www.unwater.org/publications/summary-progress-update-2021-sdg-6-water-and-sanitation-for-all/>

¹⁰ INEC, 2017. <http://redatam.inec.gob.ec/>

In the same context, Executive Decrees N°495 and 1815 of 2009 strengthen climate change governance processes with the creation of the inter-institutional committee on climate change and enact adaptation and mitigation as state policies, issuing the ENCC.

The ENCC is the sectoral planning instrument, in which six sectors were defined for adaptation (food security, agriculture, livestock, aquaculture and fishing, productive and strategic sectors, health, water resources, natural resources, and human settlements) and five sectors for mitigation (agriculture, land use, land-use change and forestry, energy, waste management, industrial processes) each of the sectors has a short-, medium-, and long-term goal for a period between 2012 and 2025.

Similarly, the country has developed a regulatory instrument such as the COA and its regulations, which defines the Ministry of Environment, Water and Ecological Transition as responsible for the planning, coordination and monitoring of public policies aimed at designing, managing, and executing climate change adaptation and mitigation actions at the local, regional, and national levels.

In the same line, the Ministry of Environment, Water and Ecological Transition should promote projects and measures to adapt to climate change. Under this same premise, the Ministry is responsible for capacity strengthening, developing climate change management instruments, and information, knowledge, and technology transfer (Articles 248, 249, 252, 256, 261). The management instruments are:

The Nationally Determined Contribution: Technical document defines the national efforts and needs for the implementation of the Paris Agreement in Ecuador.

NDC Implementation Plan¹¹: Document aimed to guide the implementation of actions at national, sectoral, and local levels that promote the reduction of GHG and enhancement of carbon sinks, as well as the increase of adaptive capacity and risk reduction to combat the effects of climate change in prioritized sectors of the ENCC (2012-2025). Its goals for the relevant sectors are:

- The water sector focuses on capacity strengthening of watershed councils, strategic communities, water boards and irrigation boards as a local governance mechanism, strengthening of information generation systems, incorporation of climate change criteria in sectoral public policy documents and tools.
- Food security sector focuses on the incorporation of climate change variable in public policy tools and handbook, development of sectoral regulations, technical studies that demonstrate the effects of climate change on the agricultural sector, and capacity strengthening.
- Health sector focuses on health surveillance handbook, communication strategies, technical studies on monitoring and distribution of tropical disease vectors, inclusion of climate change criteria in sectoral public policy instruments, management of health-climate change information, and technical talks and lectures.

National Adaptation Plan: Its purpose is to identify and reduce vulnerability and current and future climate risk in prioritized sectors in the National Climate Change Strategy, through the integration of climate change adaptation into national, sectoral, and local development planning. The plan will establish the adaptation measures and actions and the management and coordination mechanisms and instruments that contribute to face the social, economic, and environmental impacts of climate change.

National Climate Finance Strategy: Aims to guide access, management, allocation, and effective and efficient mobilization of international, national, public, and private climate finance to enhance compliance with national and international climate change objectives, in line with national planning instruments and international climate commitments.

Finally, this Readiness proposal will allow Ecuador to initiate its NDC implementation in health, food security and water sectors. In addition, the proposal will generate and develop technical and administrative enabling conditions for the implementation of public policies and actions for climate change adaptation and mitigation, which are considered in Ecuador's climate change regulatory and planning instruments, such as the National Climate Change Strategy, NDC, Climate Change Adaptation Plan and National Climate Finance Strategy. On the other hand, this regulatory framework guarantees the sustainability of the investment made by this proposal and will ensure the institutionalization of the tools and/or methodology developed during implementation.

Regulatory framework and public policy in the water sector

According to the 2008 Constitution¹² of Ecuador, water is considered a strategic national resource asset, of public use, inalienable, imprescriptible and unseizable domain of the State and constitutes a vital element for nature and for human being existence, reserving for the State the right to administer, regulate, control, and manage the

¹¹ MAAE (2021). Plan de Implementación de la Primera Contribución Determinada a Nivel Nacional de Ecuador 2020 -2025

¹² Constitución de la República del Ecuador (2008)

strategic sectors, in accordance with the principles of environmental sustainability, precaution, prevention and efficiency. Based on this, the country has the Organic Law of Water Resources, Uses and Development and its regulations (LORHUYA), whose purpose is to guarantee the human right to water as well as to regulate and control the authorization, management, preservation, conservation, restoration, use and development of water resources, integral management and its recovery, in its different phases, forms and physical states, in order to guarantee the good living and rights of nature established in the Constitution.

With respect to governance, the country has a Vice-Ministry of Water and an Undersecretariat of Water Resources, in charge of water planning and management of water resources, under which policies and guidelines are issued for water conservation sources, one of these policies is the establishment and determination of water protection areas (APH). APH are territories where there are water sources declared as public interest, for the protection, conservation and maintenance of water sources needed to supply water for human consumption or to ensure food security. In the last 5 years, Ecuador has been developing and positioning APHs as a public policy for water security. Thus, to date, Ecuador has 10 APHs with an approximate area of 54,443 hectares and more than 658,116 beneficiaries. Water funds are institutions that mix financial mechanisms with water management structures, which seek to involve all stakeholders related to the water of a river basin, state, private sector, civil society, and inhabitant. Its objective is to ensure the provision of water for cities through the management of a trust, whose seed capital generates financial resources for conservation of ecosystems that generate water.

The Water Schools, is a program of the Ministry of Environment, Water and Ecological Transition, in which training programs are offered in modality, face-to-face, blended and virtual, for community organizations providing drinking water and irrigation service, technical professionals, directors of the public sector linked to subnational governments and public in general in different topics of water resources management, whose objective is to strengthen the capacities of technical actors in integrated management of water resources in a multimodal, multilevel and multidimensional way, in synergy and articulation with academia, institutions, national organizations and international cooperation.

The objective of the water schools program is to strengthen the processes of professionalization of local actors in the sustainable management of water resources. The objective of the deliverable 2.2.5 is to include the climate change approach in its training programming, with this the criteria of integration of the health, food security and water sectors can be deepened and permeated as effective measures of adaptation to climate change. The coordination spaces generated by the "Water Schools" program allow the actions to be carried out in the intervention areas to be empowered by local actors, since community leaders trust in this program, as a means of professionalization and research in water issues.

In Ecuador, 4 water funds are identified: *Fondo para la protección del Agua* (FONAG that intervenes in the Pichincha and Napo sub national government, *Fondo de páramos de Tungurahua* that intervenes in the Tungurahua sub national government, *Fondo del Agua para la Conservación de la Cuenca del Río Paute* (FONAPA) that intervenes in the Paute River Basin, and *Fondo para la Conservación del Agua de Guayaquil* (FODAGUA) that intervenes in the Daule River Basin. Finally, this type of public policy improves governance processes at the national and sub-national levels and ensures the conditions for water security in the country. Consequently, this proposal will allow Ecuador to implement and operationalize its water and climate change public policy, for example, the climate change variable will be inserted in sectoral plans such as the National Water Plan, National Irrigation Plan, National Water Quality Strategy, National Water and Sanitation Strategy. In addition, this proposal will enable the implementation of the Water Protection Areas, which is a public policy that the government is promoting for water source conservation, supplying water in quantity and quality to the agricultural sector and potable water projects. It is necessary to mention that water regulatory framework will allow the knowledge generated by this readiness to be transferred to the NDA through institutionalized processes.

Challenges and gaps

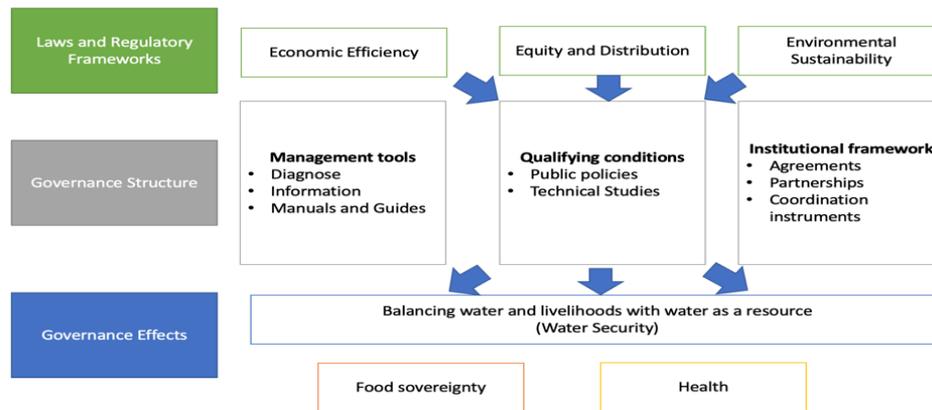
The interrelationships and synergies between the health, food security and water sectors are evident, and this Readiness proposal is set out in a very clear and objective way. Similarly, Ecuador has a very explicit regulatory and normative framework.

Thus, the main challenge that the country has is to operationalize and articulate the laws and their regulatory frameworks with the management instruments of public policy for the health, food security and water sectors. Resulting in an enabling governance framework for the implementation of adaptation actions considered in the NDC and its implementation plan.

To develop a governance concept, as shown in Figure 1, it is necessary to have: a) a regulatory framework whose objective is economic efficiency, is equitable - distributive and considers environmental sustainability, this is Ecuador has a good regulatory framework; b) a governance structure that has management instruments (diagnoses, information, handbook and technical guides), enabling conditions (public policies and technical studies) and have an institutional framework (agreements, alliances and coordination instruments) – Ecuador

does not have all these processes and has information gaps for the integration of the health, food security and water sectors; (c) governance effects, this process would make it possible to integrate the health, food security and water sectors. One of the effects could be the balance and conceptualization of water, as a livelihood and as a strategic resource for the country.

Figure 1: Governance concept



The governance concept, which is proposed in Figure 1, is the result of the collection of information on the laws and technical regulations developed by Ecuador such as the Organic Environmental Code, the Organic Law on Water Resources, the Organic Law on Food Sovereignty, among others. On the other hand, the country has generated planning tools, public policies, methodologies, technical studies such as the NDC, National Adaptation Plan, National Climate Change Strategy, National Climate Finance Strategy, National Water Plan, National Drinking Water and Sanitation Strategies, National Irrigation Plan, Public Policies for the Agricultural Sector, Healthy Municipalities and other documents for the health sector, food security and water.

In a second moment, consultations were held with the sectoral experts on climate change in health, food security and water of the NDA, to agree on a conceptual framework that allows to make visible what Ecuador has achieved and identify the gaps and needs that the country needs to strengthen, to consolidate governance that allows integrating the health sectors, food security and water.

The technical working group made up of technical staff of the NDA, agreed on this governance structure, since the country has regulatory frameworks and management instruments for a good governance structure. What is needed is to identify and strengthen the technical and administrative processes that allow these management instruments to be articulated in a coordinated manner between national and sub-national institutions responsible for the health, food security and water sectors.

Once the conceptual model of governance has been defined and agreed upon, this Readiness proposal through training modules, guidelines, handbook, technical studies, and communication strategies, will strengthen, articulate and generate the enabling conditions to consolidate the regulatory frameworks and public policy management tools that the country has developed (governance structure). This will contribute to implementing climate change adaptation measures that integrate the health, food security and water sectors.

Barriers

Low technical and administrative capacities for the management of climate finance in national, and local institutions that have the competence to implement adaptation actions in the health, food security and water sectors

The Minister of Agriculture, Ministry of Health, Vice Ministry of Water, and subnational governments do not have sustainable and efficient training processes that allow and ensure the implementation and integration of climate change adaptation measures for the health, food security and water sectors. Therefore, the budget execution of the climate financing received is low or null and there are delays and missed deadlines at the time of initiating the implementation of measures considered in the adaptation component of the NDC of Ecuador.

Weak governance to integrate and identify synergies and complementarities between the health, food security and water sectors, for the effective implementation of the adaptation section of the NDC.

As mentioned above, the country has regulatory and technical frameworks in place to manage the implementation of adaptation measures. The main barrier is that there are no governance processes that allow the integration and operationalization of technical management instruments, public policies, and institutional coordination frameworks. The institutions that have the competences of health, food security and water at the national and

subnational level, do not dialogue with each other and do not generate spaces for articulation, which allow generating synergies and complementarities of plans, programs and projects of these three sectors.

Absence of studies and technical tools developed by the Ministry of Agriculture, the Ministry of Health, the Vice Ministry of Water, and subnational governments, which allow the incorporation of climate change variables in their public policies and allow the integration of the health, food security and water sectors.

The Minister of Agriculture, Ministry of Health, Vice Ministry of Water and subnational governments do not have updated studies and technical tools to include the climate change variable in their public policy instruments and technical feasibilities. In addition, there are no technical instruments to integrate health, food security and water. Although the studies and instruments are considered in the NDC and its implementation plan.

There are no communication mechanisms to exchange information and manage knowledge on good climate practices in the health, food security and water sectors.

Although the country has made an enormous effort to generate qualitative and quantitative information, there are no communication strategies and mechanisms for the exchange of information and the transfer of knowledge generated by the health, food security and water sectors. By not having these protocols, many studies are duplicated, do not complement each other and the technical results are invisible

Readiness objective

The objective is to strengthen water governance and its institutional frameworks, through a process of capacity building, development of management tools for the inclusion of climate criteria in sectoral public policy and communication strategies, which allow integrating and generating synergies in the health, food security and water sectors, which have been prioritized in the adaptation component of the NDC.

The proposal is focused on providing technical support and supporting the implementation of the adaptation component of the NDC for the health, food security and water sectors, its main scope is to identify synergies between the 3 sectors and integrate them through a governance mechanism for its effective implementation.

The components of this proposal are:

1) Capacity building

The technical and administrative teams of national and subnational institutions that have the competences of health, food security and water, have not been trained permanently, for the implementation of adaptation measures and execution of climate financing received.

Therefore, this component will allow the development of action plan designed and implemented to strengthen technical and administrative capacities for the execution and integration of climate change adaptation measures defined in the NDC and its implementation plan, for the health, food security and water sectors, considering their climate finance management.

This component is expected to have the following deliverables:

- Technical document that has the e-course modules, virtual teaching methodology.
- Two workshop reports (including pre and post-training surveys for participants, and list of participants disaggregated by gender).
- 60 approval certificates delivered by participants, validated by the NDA
- Four workshop reports (including pre and post-training surveys for participants, and list of participants disaggregated by gender).
- 120 approval certificates delivered by participants, validated by the NDA

(2) Governance mechanisms and institutional arrangements

Ecuador, despite having a regulatory framework focused on sustainable development and climate change, has not been able to operationalize it, since its governance processes and institutional coordination arrangements, public policies and technical management instruments are still weak and, in many cases, null. This has not made it possible to implement climate change adaptation measures and integrate the health, food security and water sectors. In the context of governance, the institutions have not generated studies, methodologies and management instruments that allow integrating and generating complementarity between the sectors.

Consequently, this proposal will *strengthen effective governance, institutional arrangements and management instruments designed to integrate the health, food security and water sectors with a focus on water security, incorporate climate criteria into sectoral public policies and manage climate finance processes, incorporating the gender perspective in each tool developed.*

This component is expected to have the following deliverables:

- Technical document that contains the gap analysis of technical, technological, administrative, financial, institutional and public policy barriers that make it impossible to have efficient governance and strengthened institutional arrangements for the integration of the health, food security and water sectors.
- Handbook and technical document for effective governance that integrate the health, food security and water sectors.
- Two workshop reports with list of participants disaggregated by gender.
- Four workshop reports with list of participants disaggregated by gender

Part of this component is to develop studies that have been considered in the NDC of Ecuador, therefore the Readiness proposal would support the implementation of the following actions:

- Technical document and toolkit to include climate change criteria in National Water Plan, National Irrigation Plan, National Water Quality Strategy, National Water and Sanitation Strategy, and National Water Schools Program. These documents will be validated by the National Designated Authority.
- Technical and methodological document to include climate change criteria in certification handbook of the National Healthy Municipalities program, validated by the National Designated Authority and Municipalities.
- Three strategic ecosystem management plans and guideline for the Water Protection Areas that include a climate change variable, validated by the National Designated Authority.
- A technical document that addresses the effects of climate change on increasing productivity of two prioritized crops and a portfolio of adaptation measures based on current and future climate hazards, validated by the National Designated Authority and Ministry of Agriculture.
- Technical document for the monitoring on territorial and altitudinal distribution of *A. aegypti* and *A. albopictus*, under climate change scenarios, validated by the National Designated Authority and Ministry of Health.

3) Communication strategy for socialization and dissemination of information and knowledge transfer

The country has not developed and has not defined mechanisms to generate the exchange of information and knowledge management of the measures and good practices of adaptation to climate change, which have been carried out in Ecuador, where the health, food security and water sectors have been integrated.

For this reason, it is proposed to *communication strategy that allows the dissemination of information and knowledge transfer, at local and national level, of the identified good climate practices that have integrated adaptation measures in the health, food security and water sectors.*

This component is expected to have the following deliverables:

- Technical document that develops the communication strategy.
- Technical document containing information about communication and education on governance, strategies and integration processes to articulate health, food security and water sectors, as an adaptive capacity.
- Guideline document, handbook, videos.
- A technical document systematizing the knowledge and information generated by three case studies identified in the coast, highlands, and Amazon with information desegregated by gender regarding the participation of beneficiaries.

Gender

Incorporating the gender approach in climate management allows including, from the starting point, a technical analysis of gender barriers and design measures to reduce or eradicate them.

The application of methodologies and tools to understand and respond to inequalities gender, enables a different, panoramic, and inclusive vision of the social structure and its relationship with the sector or territory. In this way, the risk of making efforts is minimized partial and biased and opens the doors for solutions to climate change to be more effective, egalitarian, and sustainable.

Although the conditions of inequality faced by women, girls, young people, and the elderly they constitute the basis for their condition of vulnerability in the face of any threat, such as floods or droughts, they are also potential transforming agents of change that must have the same opportunities for participation to face the problem of climate change. The voices of women and diversities are calling for solutions that are not only technical but respond to a vision of justice and care for life, which makes it possible to overcome gender gaps and contribute effectively to climate action. It is important within this proposal to progressively integrate the gender approach in the management of climate change for its mainstreaming.

Stakeholders

The main climate change stakeholders to this project proposal will be the Ministry of Agriculture, the Ministry of Health, and the Vice Ministry of Water, while on the local side will be the municipalities, local water funds, basin councils, strategic communities, local drinking water and for irrigation entities. By achieving an effective governance framework, these stakeholders are strategic for its proper implementation.

Ministry of Agriculture: Entity that has the competence and national public policies on agriculture production and food security. It will provide official information to the proposal. It will be the beneficiary of the technical capacity strengthening processes, the methodological tools to develop the management model proposed by this Readiness proposal.

Ministry of Health: Institution has the national competence on health. It has generated methodological tools and information databases that would complement the toolkits and technical studies that this proposal will develop. This entity will be the beneficiary of the process of strengthening capacities, management tools and governance to integrate the health with food security and water sectors.

Vice Ministry of Water: It is part of the Ministry of Environment, Water and Ecological Transition. It will be responsible for providing technical information on the country's water sector, public policies and management tools. It is the entity that will guide the management model that allows integrating the health and food security sectors. It will be the beneficiary of the training processes and technical studies that will make it possible to include the climate change criteria in its public policies.

Subnational governments (municipalities): Local governments have the responsibility for drinking water and sanitation in their territories. They are important as part of the decentralized planning system of Ecuador. They will be beneficiaries of the training processes and the development of management tools. In addition, the proposal would support the healthy municipalities program, which are being implemented with the Ministry of Health.

Local water funds: They are private entities, which coordinate with national and local actors the implementation of actions for water management. They are important actors since it could coordinate and articulate governance actions for the water sector and that allow integration of the food security and health sectors. Within the proposal will be beneficiaries of the strengthening of capacities and the development of management tools.

Basin councils: They are spaces for local coordination and articulation, created by the law of water resources of Ecuador. There are 37 basin councils in Ecuador, and they are important since they bring together many organizations and communities, which facilitate the implementation of projects and measures. They will be beneficiaries of the training and construction processes of a governance that will allow the integration of the 3 sectors.

Local drinking water and Irrigation entities: They are entities at the local level, which have been established by civil society to manage water resources, in an orderly, equitable and transparent manner. They will be beneficiaries of this proposal due to the training processes, development of technical studies and tools, which will allow them to strengthen their governance mechanisms, to identify synergies with the food security and health sector.

Activities related to this Readiness Proposal

The Readiness proposal will use information, methodologies and management tools that have been developed by other initiatives funded by the GCF and by other programs implemented by the Ministry of Environment, Water

and Ecological Transition, Ministry of Health, and the National Institute for Research in Public Health (also described in section 1.11).

'PostCOVID-19 Green Recovery for Food, Health, and Water Security strengthened by financial and technological innovations in Latin-American countries' LAC-RS-010. This Project will take the methodological tools and successful training experiences carried out in the countries where the project was implemented and the Food, Health and Water Security sectors could be integrated. This Readiness proposal will use information on the technologies used and methodologies on crops, ways of life and the interactions between the health, food security and water sectors. The digital platforms that were developed by Readiness LAC-RS-010 will be used to exchange knowledge and information with other countries (Brazil, Argentina, Peru, Uruguay, Bolivia, Colombia and Mexico), this Readiness could use these interaction spaces meeting to the exchange of experiences in the development of comprehensive health, food security and water measures.

"Generation of a Conceptual Framework for the National Climate Change Registry of Ecuador (RNCC) and Design of a Beta Version of the Measuring, Reporting and Verification (MRV) system as part of the RNCC" ECU-RS-005. The tools, information and platforms will be used to identify measures for adaptation to climate change, in the health, food security and water sectors. This Readiness will use the MRV methodology developed by Readiness ECU-RS-005, to be included in the guidelines, handbooks and studies that are designed. In addition, it will follow the protocols of the National Registry of Climate Change, to store and save all the information generated.

"Enhance the capacity of Decentralized Autonomous Governments to access and manage climate finance in Ecuador and contribute to the implementation of the NDC". ECU-RS-003. The tools and methodologies that were used to identify climate change adaptation actions that integrated the health, food security and water sectors will be taken. In addition, the spaces of articulation that have been generated will be used to establish dialogues with local institutions and actors. The spaces generated with the local authorities allow this Readiness to advance for having primary information through surveys, focus groups, interviews with local actors. In Ecuador, it is very important to generate synergies with local actors since they have the knowledge and the social and natural dynamics. This knowledge will contribute for generating modules, guidelines, handbooks, and socialization processes for integrating of the health, food security and water sectors. Finally, it will be possible to access hydrological information on flows and water supply from community and provincial irrigation systems.

'Green Climate Fund Readiness and Preparatory Support for National Adaptation Plan in Ecuador' GG-1801-15043'. This Project will take the methodologies and technical instruments that have generated for the identification of synergies between the health, food security and water sectors. In addition, the National Adaptation Plan has generated climate risk methodologies and results, which would greatly contribute to the deliverables (technical studies, methodologies, and technical guides) of this Readiness. PLANACC has generated public policy, gender, and governance instruments for adaptation to climate change, this Readiness could use this information to complement the studies, guidelines, handbook, and training modules.

National Healthy Municipalities Program. This program will take the technical information generated and take advantage of the spaces of articulation with subnational governments. The articulation spaces that have been generated by this program of the Ministry of Health will allow this Readiness to have a networking of contacts of strategic actors in the municipal governments and their local partners, this will allow generating information through surveys, focus groups and interviews, to complement the guides and technical documents proposed in the logical framework, to integrate the health, food security and water sectors.

National Water Schools Program. From this training program at the community level, the networking generated by the Ministry of Environment, Water and Ecological Transition at the local level will be taken. In addition, databases will be used to identify local leaders. This government program would support this Readiness to contact local actors who manage public policies for drinking water, irrigation, and watershed management in the communities. This process will allow an approach to gathering information through surveys, interviews, and focus groups, with local strategic actors. In addition, this program has generated information and knowledge that will complement the studies and guides that are described in the logical framework of this Readiness

National entomological surveillance program. From this program will be taken the technical information, handbook, and geographic tools for the zoning *Aedes aegypti* and *Aedes albopictus* species.

3. LOGICAL FRAMEWORK

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
<p>Outcome 1.3 Relevant country stakeholders (which may include executing entities, civil society organizations and private sector) have established adequate capacity, systems and networks to support the planning, programming and implementation of GCF-funded activities.</p>	<p>The country has developed its NDC implementation plan, in which goals and measures have been defined for health, food security and water sectors; however, the Ministry of Agriculture, Ministry of Health and the Vice-Ministry of Water and local institutions do not have the technical and administrative capacities to implement these measures and manage the necessary climate financing.</p>	<p>Ecuador has a strengthening program that has enabled it to enhance technical and administrative capacities of the Ministry of Agriculture, Ministry of Health, Vice-Ministry of Water, and local institutions, improving conditions for the implementation of the NDC in health, food security and water sectors, and climate finance management, integrating gender perspective and responds to the different needs, interests and capacities of women and men.</p>	<p>Output 1.3.1 Action plan designed and implemented to strengthen technical and administrative capacities for the execution and integration of climate change adaptation measures defined in the NDC and its implementation plan, for the health, food security and water sectors, considering their climate finance management.</p>	<p>Activity 1.3.1 Design of trainings, where three topics will be covered, both administrative and technical for the management of climate change, it should be for approximately 180 participants from national, sub-national, and local entities, distributed in 60 officials of the Ministry of Agriculture, the Ministry of Health, and the Vice Ministry of Water and, 120 participants from local water funds, 37 basin councils, 10 strategic communities, at least 30% local entities for drinking water, at least 50% local entities for irrigation</p> <p>The information from this training, which will be delivered in activities 1.3.2 and 1.3.3, includes project and program development, GCF policies/sectorial guidelines, fiduciary standards, safeguards, procurement, oversight, planning, monitoring, evaluation to enable the implementation of the NDC for health, food security and water sectors; and to manage climate finance.</p> <p>The modules will be established as follows:</p> <p>Module 1 Project design, Module 2 Financial evaluation of projects, and, Module 3 Project implementation mechanisms¹³</p>	<p>Deliverable 1.3.1.a Technical document that has the course modules, virtual teaching methodology.</p>

¹³ Sanitation will be considered when conducting case studies in module 3 "Project implementation mechanism / planning, monitoring, evaluation".

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>For activity 1.3.1, GCF Sectoral Guideline will be considered.</p> <p>These training courses will be delivered through the FAO regional training platform¹⁴.</p> <p>Activity 1.3.2.</p> <p>Two workshops¹⁵ in virtual or face to face modality, to strengthen the technical and administrative capacities of 60 participants from the Ministry of Agriculture, Ministry of Health, Vice-Ministry of Water, Development Bank of Ecuador, and subnational governments for the implementation of the NDC in the health, food security and water sectors and climate finance management.</p> <p>To maintain a flow and get a good response from the participants about the workshops, it is necessary to divide each workshop into two groups of 30 participant of different national institutions.</p> <p>Workshop content: Module 1 Project design (project and program development, GCF policies/sectorial guidelines); Module 2 Financial evaluation of projects (fiduciary standards, safeguards, procurement, oversight), and Module 3 Project implementation mechanism / planning, monitoring, evaluation</p>	<p>Deliverable 1.3.2a</p> <p>Two workshop reports (including pre and post-training surveys for participants, and list of participants disaggregated by gender).</p> <p>Deliverable 1.3.2b</p> <p>60 approval certificates delivered by participants, validated by the NDA</p>

¹⁴ This platform for Training in Public Policies is the technical team, integrated in the project to Support the Hunger-Free Latin America and Caribbean Initiative (IALCSH) of the FAO Spain Program of the FAO Regional Office for Latin America and the Caribbean, which promotes the strengthening of the technical and functional capacities of the member countries in the region, specializing in virtual and blended training. (<https://www.fao.org/in-action/capacitacion-politicas-publicas/es/>).

¹⁵ Two workshops will be addressed for two different target groups of participants and different cities of Ecuador (Quito y Cuenca). Therefore, the methodological and pedagogical tools will be specific and different for each workshop.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>Workshop 1: In Quito for 30 participants from the Ministry of Agriculture, Ministry of Health, and Vice-Ministry of Water, and Development Bank of Ecuador.</p> <p>Workshop 2: In Cuenca for 30 participants from sub national governments (Municipalities and Provincial governments)</p> <p>Activity 1.3.3</p> <p>Four workshops¹⁶ in virtual or face to face modality, to strengthen the technical and administrative capacities of 120 participants in total, from local water funds, 37 basin councils, 10 strategic communities, at least 30% local entities for drinking water, at least 50% local entities for irrigation, in the implementation of the NDC in the health, food security and water sectors; and climate finance management.</p> <p>To maintain a flow and get a good response from the participants about the workshops, it is necessary to divide each workshop into four groups of 30 participant.</p> <p>Workshop 1: In Loja for 30 participants from local water funds and basin council.</p> <p>Workshop 2: In Riobamba for 30 participants from local communities (leaders).</p> <p>Workshop 3: In Portoviejo for 30 participants from local entities for drinking water.</p>	<p>Deliverable 1.3.3a</p> <p>Four workshop reports (including pre and post-training surveys for participants, and list of participants disaggregated by gender).</p> <p>Deliverable 1.3.3b</p> <p>120 approval certificates delivered by participants, validated by the NDA</p>

¹⁶ Four workshops will be held aimed at four different target groups of participants (local water funds and basin council, local communities, local entities for drinking water, local entities for irrigation), consequently they will be held in four different cities (Loja, Riobamba, Portoviejo, Guayaquil). This will be a territorial strategy, with the purpose of guaranteeing participation by local leaders. Therefore, the methodological and pedagogical tools will be specific and different for each workshop.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>Workshop 4: In Guayaquil for 30 participants from local entities for irrigation.</p> <p>This activity will be carried out based on the pronouncements of the Emergency Operations Committee of Ecuador and the Biosafety protocols of the Ministry of Environment, Water and Ecological Transition and FAO. The EOC has authorized holding face-to-face events with capacity of 75% of its capacity. These workshops will be held in open spaces.</p> <p>By provision of the NDA of Ecuador. The workshops must be face-to-face, since they guarantee the transfer of information and the commitment of participation of the actors in the Readiness implementation process.</p>	
<p>Outcome 2.2 GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming.</p>	<p>Although Ecuador has defined its goals in its NDC implementation plan for health, food security and water sectors, the country does not have a governance model, institutional arrangements, and technical tools to integrate the three sectors and mainstream climate</p>	<p>Ecuador has an efficient governance, strengthened institutional frameworks and technical tools to integrate the three sectors of health, food security and water, and to mainstream the climate change variable in its public policies to meet the goals defined in the NDC implementation</p>	<p>Output 2.2.1 Effective governance¹⁷, institutional arrangements and management instruments designed and implemented to integrate the health, food security and water sectors, allowing climate criteria to be incorporated into sectoral public policies and managing climate financing processes. In addition, the gender approach is incorporated into each tool developed.</p>	<p>Activity 2.2.1 Develop a baseline analysis to identify gaps and needs in public policies, technologies, institutional and financial processes of public institutions such as the Ministry of Agriculture, Ministry of Health, Vice Ministry of Water, and local actors such as water funds and subnational governments, which they have not made it possible to strengthen governance and institutional arrangements between the health, food security and water sectors.</p> <p>This gap analysis will help identify deficiencies in technical and administrative processes that will make it possible to strengthen the links between the regulatory framework and public policy instruments, which translates into strengthening a governance process and institutional</p>	<p>Deliverable 2.2.1a Technical document that contains the gap analysis of technical, technological, administrative, financial, institutional and public policy barriers that make it impossible to have efficient governance and strengthened institutional arrangements for the integration of the health, food security and water sectors.</p>

¹⁷ Governance is understood as all the interactions between the policies, strategies, and norms, institutions and processes that guide decision making and policy implementation.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
	change variable in its public policies.	plan and manage the necessary climate financing.		<p>arrangements that could ensure efficient management for the implementation of adaptation measures to change. that integrate the health, food security and water sectors.</p> <p>For this analysis, GCF Sectoral Guideline will be considered. To carry out the analysis taking into account the paradigm shift for understanding of the climatic, social and environmental functions of climate hazards and the use of innovative approaches based on nature.</p> <p>Activity 2.2.2 Develop guidelines and handbook as technical instruments of public policy that allow strengthening governance processes and effective institutional arrangements to implement adaptation measures to climate change that integrate the health, food security and water sectors.</p> <p>A strengthened and efficient governance will allow the implementation of adaptation measures that will integrate health, food security and water actions. To strengthen this governance process, it will be necessary to generate methodologies and technical tools that enable the necessary conditions to integrate the health, food security and water sectors in comprehensive adaptation measures, which have been contemplated in the NDC implementation plan.</p> <p>The handbook will be validated by the NDA of Ecuador.</p>	<p>Deliverable 2.2.2a Handbook and technical document for effective governance that integrate the health, food security and water sectors.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>Activity 2.2.3 Conduct two workshops for sharing the technical handbooks and guidelines (activity 2.2.2), with 40 participants from Ministry of Agriculture, Ministry of Health, Vice-Ministry of Water, Development Bank in Quito and Cuenca.</p>	<p>Deliverable 2.2.3a Two workshop reports with list of participants disaggregated by gender.</p>
				<p>Activity 2.2.4 Conduct four workshops for sharing the technical handbooks and guidelines, with 80 participants from local water funds, subnational governments, and other local actors in Guayaquil, Portoviejo, Riobamba, and Loja.</p>	<p>Deliverable 2.2.4a Four workshop reports with list of participants disaggregated by gender.</p>
				<p>Activity 2.2.5 Design sectoral technical tools for generating the enabling and necessary conditions to incorporate the climate change approach into the public policy instruments of the health, food security and water sectors to implement comprehensive adaptation measures that have been considered in NDC.</p>	<p>Deliverable 2.2.5a Technical document and toolkit to include climate change criteria in National Water Plan, National Irrigation Plan, National Water Quality Strategy, National Water and Sanitation Strategy, and National Water Schools Program (In section 2 “Situation Analysis, It details the scope and objective of the government program” Water Schools”). These documents will be validated by the National Designated Authority.</p> <p>Deliverable 2.2.5b Technical and methodological document to include climate change criteria in certification handbook of the National Healthy Municipalities program, validated by the National Designated Authority and Municipalities.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
					<p>Deliverable 2.2.5c Three strategic ecosystem management plans and guideline for the Water Protection Areas that include a climate change variable, validated by the National Designated Authority.</p> <p>Deliverable 2.2.5d A technical document that addresses the effects of climate change on increasing productivity of two prioritized crops and a portfolio of adaptation measures based on current and future climate hazards, validated by the National Designated Authority and Ministry of Agriculture.</p> <p>Deliverable 2.2.5e Technical document for the monitoring on territorial and altitudinal distribution of <i>A. aegypti</i> and <i>A. albopictus</i>, under climate change scenarios, validated by the National Designated Authority and Ministry of Health.</p> <p>Deliverable 2.2.5f Toolkit for management of climate information in reference to climate rationality, environmental and social safeguards and other requirements for development of climate projects, validated by the National Designated Authority.</p>
<p>Outcome 5.1 Best practices with respect to</p>	<p>Although Ecuador has created institutional</p>	<p>The country has a communication and synergy generation</p>	<p>Output 5.1.1 Communication strategy that allows the</p>	<p>Activity 5.1.1 Development of an institutional communication strategy to disseminate and transfer knowledge at the</p>	<p>Deliverable 5.1.1.a Technical document that develops the communication strategy.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
institutional capacity building and coordination, direct access, and pipeline development are developed and disseminated to strengthen engagement by NDAs, DAEs, and delivery partners with the GCF.	articulation spaces such as the Interinstitutional Committee on Climate Change and the Interinstitutional Committee on Water Quality; and information platforms, there is still no communication strategy to disseminate information and transfer the knowledge generated by good climate practices in health, food security and water sectors.	strategy to disseminate information and transfer knowledge of good climate practices in governance, integrating health, food security and water sectors, focusing in different target audiences and promoting the reduction of discriminatory behaviors and attitudes against women and vulnerable groups.	dissemination of information and knowledge transfer, at local and national level, of the identified good climate practices that have integrated adaptation measures in the health, food security and water sectors.	local and national levels on good climate practices in governance. The communication strategy will contain strategic lines of visibility, positioning and expansion of good climate practices a governance, highlighting the women role in strategies for reducing the impact of climate change.	-
				<p>Activity 5.1.2</p> <p>Generation of educational and communicational products focused on good climate practices in governance as an adaptive strategy that integrates and generates synergies between health, food security and water sectors.</p> <p>The educational and communications products (information guide and videos) will be mainly to empower children, teenagers, indigenous groups in their language (Kichwa).</p>	<p>Deliverable 5.1.2.a</p> <p>Technical document containing information about communication and education on governance, strategies and integration processes to articulate health, food security and water sectors, as an adaptive capacity.</p> <p>Deliverable 5.1.2b</p> <p>Guideline document, handbook, videos.</p>
				<p>Activity 5.1.3</p> <p>Identification of good climate practices in governance that integrate health, food security and water sectors, which have been implemented in the country, as case studies to disseminate and share lessons learned.</p>	<p>Deliverable 5.1.3a</p> <p>A technical document systematizing the knowledge and information generated by three case studies identified in the coast, highlands, and Amazon with information desegregated by gender regarding the participation of beneficiaries.</p>

4. THEORY OF CHANGE

Ecuador has identified some technical and administrative problems that have made it impossible to meet the goals, results, and objectives of the NDC. For this reason, Ecuador's main challenge is to develop and strengthen an effective governance that allows it to generate the enabling conditions for the implementation of climate change adaptation measures. Ecuador, through this Readiness, establishes as a goal to strengthen governance and its institutional frameworks, through a process of capacity building, development of management tools for the inclusion of climate criteria in sectoral public policies and communication strategies, which allow integrating and generating synergies in the health sectors, food security and water, which have been prioritized in the adaptation component of the NDC. For which, the following outputs have been defined:

- A) **Action plan designed and implemented to strengthen technical and administrative capacities:** The development of this action plan will be the result of developing and designing training modules that strengthen capacities in national, subnational, and local institutions, focused on the design of climate projects and the administrative and financial processes for their execution. At least 6 technical workshops will be highlighted to improve the capacities of national, subnational institutions and local actors involved in the implementation of climate change adaptation measures, which have been considered in the NDC. It is necessary to consider that these measures should integrate the health, food security and water sectors. This is how this process would benefit the country, since it will generate the necessary conditions to improve planning, programming, and implementing activities financed by the GCF.
- B) **Effective Governance, institutional arrangements and management instruments designed to integrate the health, food security and water sectors:** A baseline analysis will be developed to identify gaps and needs of public policy, technologies, institutional and financial processes of public institutions and local actors which have not been able to integrate actions between the health food security and water sectors. This process will allow the generation of technical guidelines and handbooks to improve and strengthen an effective governance and institutional arrangements, which help to integrate the health, food security and water sectors and implement climate change adaptation measures considered in the NDC. In addition, studies, methodologies, and technical tools will be generated to generate and strengthen the enabling conditions to implement adaptation measures to climate change and integrate the health, food security and water sectors. Finally, there will be workshops on socialization and dissemination of the tools, methodologies and studies generated in this output. Consequently, this Readiness will help Ecuador to improve its strategic public policy frameworks and will increase the sectoral expertise and enable the conditions conducive to the programming of the GCF.
- C) **Communication strategy that allows the dissemination of information and knowledge transfer, at the local and national level, of the identified good climate practices:** This process is very important for the NDA, since it allows it to position the importance of implementing the NDC in subnational governments and local actors. In addition, it will be possible to make visible and socialize the importance of adaptation measures that integrate the health, food security and water sectors. For this output it has been considered to have a communication strategy that allows to transmit the message of integrality of the adaptation measures, to generate communicative tools, that allow to use a language much closer to the local and national actors, finally, at least three good practices of effective governance that integrate the health sectors will be identified, food security and water, which are being implemented in Ecuador, in order to exchange and replicate experiences. Consequently, this Readiness will help Ecuador to disseminate and socialize the best practices of institutional strengthening found during its implementation.

On the other hand, several barriers have been identified and include low technical and administrative capacities for the management of climate finance in national, national and local institutions that have competence to implement adaptation actions in the health, food security and water sectors; Weak governance to integrate and identify synergies and complementarities between the health, food security and water sectors, for the effective implementation of the adaptation section of the NDC; Absence of studies and technical tools developed by national and subnational institutions, which allow the incorporation of climate change variables into their public policies and allow the integration of the health, food security and water sectors; There are no communication mechanisms to exchange information and manage knowledge on good climate practices in the health, food security and water sectors.

These barriers will allow defining improvement processes with a scope in the short and medium term. Having identified the barriers will help to establish mechanisms to reduce the risks if one of these barriers persists. In addition, with the technical support of this Readiness, many of these barriers can be overcome, since the outputs are focused on solving and strengthening the technical capacities of national and local institutions, generating instruments to improve the effective governance, which allows integrating the health, food security and water sectors, and developing communication strategies, dissemination and exchange of information and successful experiences identified in Ecuador.

Finally, the new authorities of the Ministry of Environment, Water and Ecological Transition are empowered and committed to the implementation of public policy instruments and governance processes that allow the implementation of adaptation measures, which integrate the health, food security and water sectors. In addition, technical spaces for coordination and institutional articulation have been generated through legal frameworks, therefore the actors that participate in these spaces are interested and motivated in implementing a comprehensive and efficient public policy, which allows to comply with the objectives of the NDC in Ecuador.

Goal	Ecuador strengthens governance and its institutional frameworks, through a process of capacity building, development of management tools for the inclusion of climate criteria in sectoral public policy and communication strategies, which allow integrate and generate synergies in the health, food security and water sectors, which have been prioritized in the adaptation component of the NDC		
Goal Statement	IF Ecuador strengthens its governance and reinforces its institutional frameworks THEN the country will be able to integrate and implement the health, food security and water sectors; and it will achieve the goals established in the adaptation component of the NDC implementation plan, BECAUSE it will strengthen the technical, administrative capacities of national, sub-national and local institutions, develop management manuals, and generate instruments to mainstream the climate change variable in policies. public sector sectors, will integrate sectors and finally develop communication strategies for the dissemination of information and exchange of knowledge generated by good climate practices that have integrated the health, food security and water sectors		
Outcome	Outcome 1.3: Relevant country stakeholders (which may include executing entities, civil society organizations and private sector) have established adequate capacity, systems and networks to support planning, programming and implementation of GCF-funded activities.	Outcome 2.2: GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming.	Outcome 5.1: Best practices with respect to institutional capacity building and coordination, direct access, and pipeline development are developed and disseminated to strengthen engagement by NDAs, DAEs, and delivery partners with the GCF.
Outputs	Output 1.3.1: Action plan designed and implemented to strengthen technical and administrative capacities for the execution and integration of climate change adaptation measures defined in the NDC and its implementation plan, for the health, food security and water sectors, considering their climate finance management.	Output 2.2.1: Effective governance, institutional arrangements and management instruments designed and implemented to integrate the health, food security and water sectors, allowing climate criteria to be incorporated into sectoral public policies and managing climate financing processes. In addition, the gender approach is incorporated into each tool developed.	Output 5.1.1: Communication strategy that allows the dissemination of information and knowledge transfer at local and national level, of the identified good climate practices that have integrated adaptation measures in the health, food security and water sectors. .
Activities	Activity 1.3.1; Activity 1.3.2; Activity 1.3.3	Activity 2.2.1; Activity 2.2.2; Activity 2.2.3; Activity 2.2.4; Activity 2.2.5	Activity 5.1.1; Activity 5.1.2; Activity 5.1.3
Inputs	Policies, Regulation and Normative Instruments : Organic Environmental Code and its regulations; National Strategy on Climate Change; Nationally Determined Contribution and Implementation Plan; National Strategy of Climate Finance; Organic Law of Water Resources, Uses and Use of Water; National Water Plan; National Irrigation Plan; National Water Quality Strategy; National Water and Sanitation Strategy; Agricultural Public Policy; Participatory Management, Conservation and Soil Recovery Plan, Manual for the National Program for Healthy Municipalities and Markets	Technical documents: Technical guide for the inclusion of the climate change variable in local development plans; Handbook for the establishment of water protection areas; Guidelines of water protection areas; Good Agricultural Practices - to confront Climate Change; Handbook of Parcel Irrigation; Guidelines of Safe water; Citizen response to climate change	Technical board: Interinstitutional Committee on Climate Change; Interinstitutional Committee on Water Quality.
Barriers	B1: Low technical and administrative capacities for the management of climate finance in national, national, and local institutions that have the competence to implement adaptation actions in the health, food security and water sectors; B2: Weak governance to integrate and identify synergies and complementarities between the health, food security and water sectors, for the effective implementation of the adaptation section of the NDC.; B3: Absence of studies and technical tools developed by the Ministry of Agriculture, the Ministry of Health, the Vice Ministry of Water, and subnational governments, which allow the incorporation of climate change variables in their public policies and allow the integration of the health, food security and water sectors.; B4: There are no communication mechanisms to exchange information and manage knowledge on good climate practices in the health, food security and water sectors.		
Risk	R1: Change of authorities during the transition period of the outgoing government, to hold office and functions from 2021 to 2025. Staff turnover; R2: Reduction of the national budget, cause reduction of personnel and reduction of institutions; R3: Poor stakeholders engagement at subnational level; R4: Lack of manage and access to institutional information; R5: Activities are not complementarity to other readiness activities; R6: Large number of consultants delay procurement of consultants and/or timely delivery of deliverables; R7: Increase in socio-environmental conflicts due to the distribution of Water. Little interest from local communities to strengthen their technical capacities on climate change issues; R8: Increase new variants and contagions COVID19; R9: The project not being executed according to the logical framework.		
Assumptions	A1: Technical and political empowerment of the importance of strengthening technical and administrative capacities for the management and execution of projects financed by climate funds by national and sub-national institutions, accredited entities, potential executing entities, and local entities; A2: Current and operational institutional coordination and articulation spaces through normative and legal resolutions. In addition, its members would be interested in participating actively.		

5. BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT PLAN

5.1 Budget plan

Budget Plan in Excel attached.

5.2 Procurement plan

Procurement Plan in Excel attached.

5.3 Implementation Plan

Implementation Plan in Excel attached.

5.4 Disbursement schedule

Readiness Proposal that falls within a Framework Agreement with the GCF

Disbursements will be made in accordance to Clause 4 “Disbursement of Grants” and Clause 5 “Use of Grant Proceeds by the Delivery Partner” of the second Amended and Restated Agreement in the respect of the Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and FAO on 25 August 2020 (the “Framework Agreement”). The Delivery Partner is entitled to submit 2 requests for disbursement each year and an Interim Request for Disbursement within 30 days of approval by the GCF of a proposal, which must be in accordance with the Framework Agreement.

6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

6.1 Implementation arrangements

The readiness proposal will be implemented during a period of 18 months by FAO under the guidance and leadership of the NDA. The Ecuador's NDA will assure the active participation of Ministry of Agriculture, Ministry of Health, Vice-Ministry of Water and Sub-national Governments¹⁸ to implement these activities and ensure the mainstreaming of climate change in the three prioritized sectors. FAO, as the Delivery Partner, will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring, and reporting activities under this proposal in compliance with FAO's policies and procedures and with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered between GCF and FAO dated 25 August 2020. However, the proposal will be implemented in a way to stress the ownership and coordination role of the Ministry of Environment, Water and Ecological Transition.

For the governance and strategic decisions of the readiness proposal, the Ministry of Environment, Water and Ecological Transition and FAO will guide and provide political and strategic orientation for the implementation of the proposal, as well as to guarantee a solid inter-institutional coordination.

The Ministry of Environment, Water and Ecological Transition and FAO will establish a **Project Steering Committee (PSC)** to ensure organizational effectiveness, responsible to supervise, discuss and deliberate on technical products, and provide technical oversight and advice, particularly ensuring the activities of this proposal do not overlap or duplicate the work carried out by other partners currently working in Ecuador. General responsibilities will include brainstorming and support the processes necessary for the efficient implementation of the activities. To ensure FAO's ultimate accountability, the PSC decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency, and effective international competition. In case a consensus cannot be reached within the Committee, final decision shall rest with the Ministry of Environment, Water and Ecological Transition.

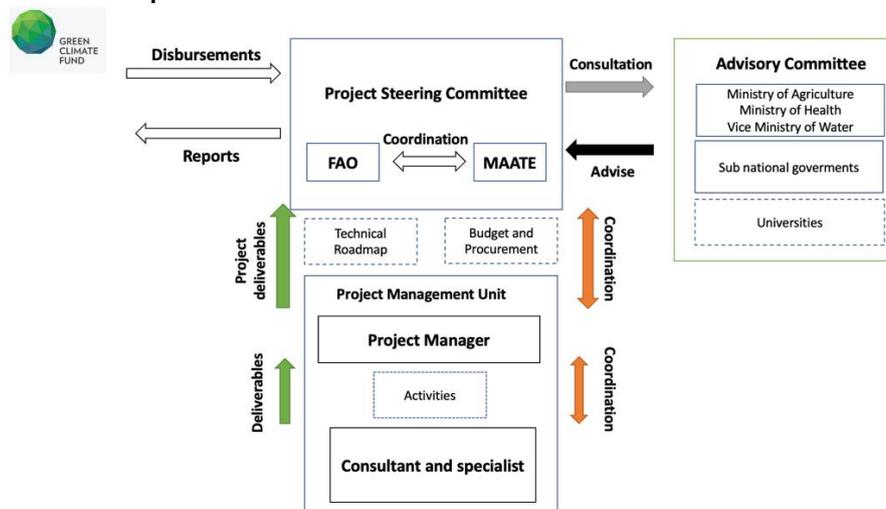
For the implementation of the readiness proposal, a **Project Management Unit (PMU)** will be established, which will have the main function of ensuring the coordination and execution of the proposal through the effective implementation of the annual work plans, following the guidelines of the PSC. The PMU will be led by a National Project Coordinator, will be technically supervised by FAO, and will be located inside the Ministry of Environment, Water and Ecological Transition facilities given the nature of the activities. In addition, specialists in water, food security and health will be hired as part of the project management unit, which will have to develop deliverables for the proposal and will provide technical support to the coordinator. As delivery partner, all the PMU consultants, goods, and service will be procured and managed by FAO.

The **National Project Coordinator (NPC)** is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The NPC will ensure that all project personnel maintain a high level of transparency, responsibility, and accountability in M&E and in reporting of project results, will report, to the PSC, of any delays or difficulties encountered during implementation to ensure that appropriate support and corrective measures can be adopted. NPC will develop annual work plans to support the efficient implementation of the project, will ensure that the standard FAO and GCF M&E requirements are fulfilled to the highest quality and will ensure fluid communication between all stakeholders of the project. During PSC meetings, PNC will serve as secretary to ensure that all the decisions made are duly executed to ensure a smooth implementation of the project.

An Experts **Committee** will be composed by technicians of the Ministry of Agriculture, Ministry of Health and Vice Ministry of Water of MAATE, subnational governments, and members of the universities (if the PSC would consider it relevant in due course). Members of this committee will be invited to for providing technical support to the PSC when considered needed, during sectoral consultation processes. Their role will advise about local initiatives, projects under implementation, will provide data and information about their sectors, and will present to the PSC comments about the main documents that the project will develop.

¹⁸ According to their competences established by law.

Implementation flow map



As per established procedures for FAO cooperation programme implementation in Ecuador, the government and FAO will sign a project agreement document that will serve as the legal basis for the project implementation, monitoring, and reporting.

To avoid any possible conflicts of interest deriving from the Delivery Partner's role as an Accredited Entity, the prioritization of investments and projects, including the development of any concept notes, in the context of this readiness grant, will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities for Ecuador. The final validation of these priorities will be carried out through the countries' own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies, as well as representatives from civil society and private sector as the NDA deems relevant, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholders.

Government obligations

- With a view to ensuring rapid and efficient execution of the Project, the Government shall grant to FAO, its staff, all other persons performing services on behalf of FAO and the necessary facilities.
- The Government will apply to FAO, as appropriate, its property, funds and assets, its officials and all the persons performing services on its behalf in connection with the Project: (i) the provisions of the Convention on Privileges and Immunities of the Specialized Agencies; and (ii) the United Nations currency exchange rate. The persons performing services on behalf of FAO will include any organization, firm, or other entity, which FAO may designate to take part in the execution of the Project.
- The Government will be responsible for dealing with any claims which may be brought by third parties against FAO, its personnel or other persons performing services on its behalf, in connection with the Project, and will hold them harmless in respect to any claim or liability arising in connection with the Project, except when it is agreed by the Government and FAO that such claims arise from gross negligence or wilful misconduct of such persons.
- The Government will be responsible for the recruitment, salaries, emoluments, and social security measures of its own national staff assigned to the Project. The Government will also provide, as and when required for the Project, the facilities and supplies indicated in the Project Document. The Government will grant FAO staff, the Resource Partner and persons acting on their behalf, access to the project offices and sites and to any material or documentation relating to the Project and will provide any relevant information to such staff or persons.

FAO obligations

- FAO will be responsible for the provision, with due diligence and efficiency, of assistance as provided in the Project Document. The Government and FAO will consult closely with respect to all aspects of the Project.
- Assistance under the Project will be made available to the Government, or to such entity as provided in the Project, and will be furnished and received: (i) in accordance with relevant decisions of the Governing Bodies of FAO, and with its constitutional and budgetary provisions; and (ii) subject to the receipt by FAO of the necessary contribution from the Resource Partner. FAO will disburse the funds received from the

Resource Partner in accordance with its regulations, rules, and policies. All financial accounts and statements will be expressed in United States Dollars and will be subject exclusively to the internal and external auditing procedures laid down in the financial regulations, rules, and directives of FAO.

- FAO's responsibilities regarding financial management and execution of the Project will be as stipulated in the Framework Agreement
- Assistance under the Project provided directly by FAO, including technical assistance services and/or oversight and monitoring services, will be carried out in accordance with FAO regulations, rules and policies, including on recruitment, travel, salaries, and emoluments of national and international personnel recruited by FAO, procurement of services, and supplies and equipment. The candidacies of senior international technical staff for recruitment by FAO will be submitted to the Government for clearance following FAO procedures.
- Equipment procured by FAO will remain the property of FAO for the duration of the Project. The Government will provide safe custody of such equipment, which is entrusted to it prior to the end of the Project. The ultimate destination of equipment procured under this Project will be decided by FAO in consultation with the Government and the Resource Partner.

Gender equality

Gender dimensions have been integrated throughout the project, to ensure that gender issues of climate change are reflected in the knowledge products, as well as to ensure that diverse viewpoints are reflected, and different types of actors' capacity is strengthened.

By using a human rights-based approach, both duty-bearers and right-holders will be identified, and their capacities developed. Within this approach, duty-bearers will be ready to mainstream gender and to support all, and right-holders will be ready to practice their rights. By taking gender issues into account in all activities, the project is more likely to meet its objectives and reach its full potential, as the knowledge products and related planning processes will more accurately reflect the existing socio-economic dynamics that shape women's and men's adaptive capacity. In addition, the project will avoid reinforcing existing inequalities vis a vis access to knowledge and training by encouraging the participation and engagement of diverse stakeholders.

The project will take advantage of "Methodological guidelines for the incorporation of gender approach in initiatives, actions and products developed by PLANACC" and "Technical guide for the integration of gender approach in climate change management in Ecuador", developed by the MAATE.

The readiness proposal will implement the following measures:

1. Participatory processes (dissemination and communication) with a gender perspective: The active participation of women in the entire project implementation will be promoted, as well as the equitable participation of men and women in the decision-making. The project will target 50-50 equal participation of women in all the events organized within the project and ensure that the deliverables are gender-sensitive and that the interests of both men and women are considered and represented throughout the project implementation. The meetings will be planned at times and places that are consistent with the women's schedules
2. Active role of women in decision-making: The project will guarantee the participation of men and women in activities (training, dissemination, etc.), considering the voice of women in the communities for decision-making.
3. Gender parity in the technical team: The project team will be made up of at least 50% women with equal tasks and responsibilities. The TORs or the project team include considerations to achieve equitable participation

FAO will ensure effective gender and social inclusion mainstreaming in line with the FAO Policy on gender equality, the FAO Environmental and Social Management Guidelines, and the GCF standards on gender equality and social inclusion.

The project will allocate specific budget to guarantee gender-related results and indicators, and available expertise from national project team.

Indigenous People

This readiness and preparatory support grant aim to support the establishment, adoption, and implementation of strategic frameworks and governance strategies, and strengthen the capacities, systems and networks of the NDA to improve the programming and implementation of intersectoral (water, agriculture and health) climate investment, at national and local level. While the project does not include specific intervention on indigenous

population territories, it does consider their participation to ensure that indigenous groups are represented and participate during its implementation.

The indigenous population in Ecuador is near to 1.1 million (6.3% of the total population). According to the Council of Indigenous Nationalities and People (CODEMPE), there are 14 indigenous nationalities and 18 indigenous populations, integrated in local, regional, and national organizations, which will be reached to involve them in participatory discussion processes. Interculturality and plurinationality issues are considered a cross cutting strategy that will be applied in the design, planning, management, and implementation of each deliverable. Specific and most relevant material will be developed and distributed in Kichwa.

Indigenous people are among the hardest hit by climate change because of the impact climatic variability has in their livelihoods and food security. At the same time, indigenous people's knowledge, innovations, and resilience capacities are fundamental for the design of climate interventions. Within the project, their knowledge will be essential for the capacity strengthening (outcome 1.3) and knowledge management (outcome 5.2) activities, as example the project will follow the approaches on community water management, implemented by the Water Schools, where it is critical the coordination of spaces, participatory decision making and governance mechanism through the respect of culture, traditional knowledge, and the vision of indigenous people

Indigenous people interventions will be lead and supervise by the Project Coordinator. To this end, these considerations are included in each TOR.

FAO will ensure effective implementation of this project in line with the FAO Indigenous People's Policy, the FAO Environmental and Social Management Guidelines, and the GCF standards on FPIC (Free Prior and Informed Consent).

Starting date

The start date for implementation will be as outlined in the second Amended and Restated Agreement in the respect of the Framework Readiness and Preparatory Support Grant Agreement entered between GCF and FAO on 25 August 2020.

6.2 Implementation and execution roles and responsibilities

Agency/Key Stakeholder	Type	Role in the project
Ministry of Environment, Water and Ecological Transition (MAATE)	Government institutions	MAATE will lead government coordination processes for country programming, stakeholder engagement, while benefiting from the project's capacity building activities.
FAO	Delivery Partner	FAO as the Delivery Partner, will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with FAO's policies and procedures and with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered between GCF and FAO dated 25 August 2020.
Expert Committee (Ministry of Agriculture, Ministry of Health and Vice Ministry of Water of MAATE and Representatives of subnational governments)	Government institutions	Ministry of Agriculture, Ministry of Health and Vice Ministry of Water of MAATE and Representatives of subnational governments. The sectorial and methodological consultations will be directed to these sectorial and subnational institutions, so that their technical recommendations are accepted by consultants and specialists of the Readiness proposal. They will also be invited and participate in all planned workshops.

Project Management Unit human resources		
Consultant	Duration (in work days)	Base for TOR
National Project Coordinator Project Management Unit (PMU)	360	<p>The National Project Coordinator leads the technical and administrative implementation of the project, planning, monitoring, and reporting, is responsible for the Coordination of the technical team. Maintains direct communication with focal points of MAATE and FAO.</p> <p>Project Coordinator will articulate and coordinate the deliverables considered in each output. He or she get to know and manage the effective governance of water security, productivity in health sector and food security sector.</p> <p>In addition, the coordinator will manage climate financing strategies with key stakeholders to address water and food security. Profile requirements and qualifications needed.</p> <ul style="list-style-type: none"> • University degree in natural resources management, business administration, climate change or a related area. • Master's degree in climate change, water management, agriculture, economic. • At minimum 5 years' experience in climate change or environmental project management and implementation. • At least 2-3 years' experience in mainstreaming gender and indigenous people strategies.
Technical assistant Project Management Unit (PMU)	360	<p>The technical assistant will support the project coordinator in the technical and administrative processes.</p> <p>He/she will oversee following up and monitoring the readiness activities.</p> <p>Profile requirements and qualifications needed.</p> <ul style="list-style-type: none"> • University degree in natural resources management, business administration, climate change or a related area. • Master's degree in climate change, water management, agriculture, economic. At minimum 2-years' experience in project management and implementation. • Knowledge of mainstreaming gender and indigenous people strategies.
Consultants and specialists		
Climate change adaptation specialist	80	<p>This international expert will oversee the process of strengthening technical and administrative capacities managed by the GCF. This will be the expert responsible for activity 1.3.1, to address the GCF processes or climate finance. He or she will be responsible for designing contents of training modules and defining technical teaching methodologies and tools.</p> <p>Profile of the requirements and qualifications necessary for the expert in adaptation to climate change and financing.</p> <ul style="list-style-type: none"> • University degree in economy, finance, and climate change • A master's degree in climate change. • minimum experience of 10 years in GCF projects, adaptation, and financing • Proven knowledge in the implementation and development of GCF projects.
Climate change specialist	120	<p>This national expert will oversee the process of strengthening technical and administrative capacities managed by the GCF, in</p>

		<p>support of the international consultant. This expert will be responsible for activities 1.3.1; 1.3.2; 1.3.3, to address the GCF processes or climate finance and follow up on training program. He or she will be responsible for technically assisting at international expert in conducting technical workshops and will be responsible for coordinating and articulating local workshops in the different cities with local actors.</p> <p>Profile of the requirements and qualifications necessary for the expert in climate change and financing.</p> <ul style="list-style-type: none"> • University degree in economics, finance, and climate change • A master's degree in climate change. • minimum experience of 3 years in GCF projects, adaptation, and financing • Demonstrated knowledge in group management and relationship with local communities.
Climate finance / public policies specialist	80	<p>This national expert will oversee carrying out a technical, technological and institutional diagnosis of the barriers and needs to develop a effective governance that allows integrating the health, food security and water sectors. This expert will be responsible for activity 2.2.1 and 2.2.2.</p> <p>Profile of the requirements and qualifications necessary for the expert in climate finance and public policies.</p> <ul style="list-style-type: none"> • University degree in economics, public policy. • A master's degree in climate change. • Minimum experience of 5 years in climate change projects • Demonstrated knowledge in effective governance design.
Water management specialist	360	<p>This sectoral expert will oversee one of the outputs in the project. He/she will be responsible for coordinating with the technical team and the effective water governance, to ensure health and food security. This expert will be responsible for deliverable 2.2.5a.</p> <p>In the same way, he or she will be dedicated to development a strategic governance for climate financing.</p> <p>It will also oversee technical boards on local, national and regional climate knowledge.</p> <p>Profile requirements and qualifications needed for adaptation of climate change and water governance expert.</p> <ul style="list-style-type: none"> • University degree in water management resources, environmental engineering. • Master's degree in climate change, water management, or similar. • At least 5 years' experience in water governance climate change adaptation. • Demonstrated specific experience in formulating water governance projects. • At least 1-2 years' experience in mainstreaming gender and indigenous people strategies.
Agriculture specialist	300	<p>This sectoral expert will oversee one of the outputs in the project. He or she will be dedicated to technical support the monitoring and evaluation of sectoral studies on agriculture and climate change. This expert will be responsible for deliverable 2.2.5d.</p> <p>The expert will propose cropping patterns and intensities considering the soil quality, climatic conditions, and crop water requirements.</p>

		<p>Profile requirements and qualifications needed for adaptation, mitigation, and agriculture expert.</p> <ul style="list-style-type: none"> • University degree in agronomy, environmental engineering. • A master's degree in water resources, agronomy. • least 5 years' experience in productivity, crops, and climate change. • Demonstrated knowledge of climate change and crop productivity. • At least 1-2 years' experience in mainstreaming gender and indigenous people strategies.
Health specialist	300	<p>This sectoral expert will oversee one of the outputs in the project. He or she will be dedicated to design criteria to include climate change in the certification handbook of the National Healthy Municipalities program. This expert will be responsible for deliverable 2.2.5b.</p> <p>Profile requirements and qualifications needed for adaptation and health expert.</p> <ul style="list-style-type: none"> • University degree in water management, environmental engineer. • A master's degree in water sanitation, • least 5-years' experience in health, sanitation, and climate change. • Demonstrated knowledge of development community projects water, sanitation, and health. • At least 1-2 years' experience in mainstreaming gender and indigenous people strategies.
Climate change specialist with experience in climate information	120	<p>This national expert will develop a toolkit for management of climate information in reference to climate rationality, environmental and social safeguards for the health, food security and water sectors. This expert will be responsible for deliverable 2.2.5f.</p> <p>Profile of the requirements and qualifications necessary for the expert in climate information and social and environmental safeguards.</p> <ul style="list-style-type: none"> • University degree in geography, environmental and social sciences. • A master's degree in climate change. • minimum experience of 3 years in managing climate information and socio-economic and social information • Demonstrated knowledge in group management and information systems.
Local consultancy firm that develops guidelines and handbook that allow development of an effective governance and effective institutional agreements to integrate health, food security and water sectors.	60	<p>This consultancy firm will be responsible for deliverable 2.2.2a "Handbook and technical document of an effective governance that integrates the health, food security and water sectors".</p> <p>The consulting firm must have the following profile:</p> <ul style="list-style-type: none"> • Experience for designing climate change public policies and governance. • Experience in public administration. • Experience in institutional and territorial articulation mechanisms.
One Local consultancy firm that develops the guides and strategic plans for ecosystem management (3 plans)	100	<p>This consultancy firm will be responsible for deliverable 2.2.5c "Three strategic ecosystem management plans and guideline for the Water Protection Areas that include a climate change variable". In addition, a management plan will have an analysis and interpretation of hydrological, climatic, environmental, social and economic information on the area; portfolio of sustainable management measures; strategic lines for implementation; local cooperation</p>

		<p>mechanisms (generation of cooperation agreements); monitoring and evaluation system; financing plan.</p> <p>The consulting firm must have the following profile:</p> <ul style="list-style-type: none"> • Experience in water resource management. • Experience in mediation mechanisms with local communities. • Experience in local, national, and international cooperation mechanisms. • Experience in managing adaptation measures in the water sector.
Local consultancy firm that develops monitoring of territorial and altitudinal distribution of <i>A. aegypti</i> and <i>A. albopictus</i> , under climate change scenarios.	80	<p>This consultancy firm will be responsible for deliverable 2.2.5e. "Technical document for the monitoring on territorial and altitudinal distribution of <i>A. aegypti</i> and <i>A. albopictus</i>, under climate change scenarios, validated by the National Designated Authority and Ministry of Health".</p> <p>The consulting firm must have the following profile:</p> <ul style="list-style-type: none"> • Vector experience for tropical diseases. • Experience in managing databases and geographic information. • Practical experience for the management of tropical diseases.
Local consultancy firm that develops a communication strategy, E - Communication and education modules, and guides, posters, videos and educational materials in Spanish and local language.	80	<p>This consultancy firm will be responsible for deliverable 5.1.1a, 5.1.2a, and 5.1.2b. It will develop a communication strategy that contains strategic lines of visibility, positioning and expansion of good climate practices for water governance (Deliverable 5.1.1 a), to develop E - Communication and education modules on governance strategies and integration processes to articulate health, food sovereignty and water sectors (Deliverable 5.1.2.a), and to development of guides, posters, videos and educational materials in Spanish and local language (Deliverable 5.1.2.b).</p> <p>The consulting firm must have the following profile:</p> <ul style="list-style-type: none"> • Experience in social communication and social media. • Experience in infographic design and other means of socializing technical information. • Experience in developing videos and informational materials.
Local consultancy firm that develops identification and information gathering of the case studies on water security and water Governance in the three regions of Ecuador.	100	<p>This consultancy firm will be responsible for deliverable 5.1.3a "A technical document systematizing the knowledge and information generated by three case studies identified in the coast, highlands, and Amazon with information desegregated by gender regarding the participation of beneficiaries".</p> <p>The consulting firm must have the following profile:</p> <ul style="list-style-type: none"> • Experience in socio-environmental studies. • Experience in managing local knowledge in water resources management, food security and health. • Experience in mechanism of socialization and collection of information, transfer of knowledge and local technology.

6.3 Risks and mitigation measures

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Political risk	Change of authorities during the transition period of the outgoing government, to hold office and functions from 2021 to 2025. Staff turnover.	Medium	High	Annual operating plans will be necessary for project validation. Hold bilateral meetings periodically with local actors and authorities. Form technical teams of work to coordinate actions interinstitutional at the level national and sectoral.	MAATE
Economic risk	Reduction of the national budget, cause reduction of personnel and reduction of institutions	Medium	Medium	Identify and prioritize institutions and technical staff that are beneficiaries of the grant.	MAATE
Involvement risk	Poor stakeholders' engagement at subnational level	Low	Medium	Though the MAATE subnational offices and the PMU, a continuous coordination and involvement of stakeholders at subnational level will be promoted	MAATE/FAO
Information availability risk	Lack of manage and access to institutional information	medium	Low	Generate protocols for generation and exchange of institutional information. Partnerships established to foster development and dissemination of methods, frameworks, and information systems for enhanced climate finance programming at subnational, national, and regional levels.	MAATE/FAO

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Coordination risk	Activities are not complementary to other readiness activities	Low	Low	<p>The National Project Coordinator will hold regular meetings with the NDA, to identify complementary activities with other Readiness and projects under implementation, to avoid duplication and overlap.</p> <p>In addition, the National Project Coordinator will attend the evaluation meetings convened by the NDA each month to update the progress of this Readiness and will alert if there is any duplication of activities with other national and subnational projects.</p>	MAATE
Operational risk	Large number of consultants delay procurement of consultants and/or timely delivery of deliverables	Low	Medium	Annual planning and procurement plan will detail dates and timeline for procurement and the National Project Coordinator will keep a close follow up of deliverables advance and meeting with consultants for periodic progress update. FAO has rules and procedures to mitigate these risks	MAATE/FAO/NPC
Social risk	Increase in socio-environmental conflicts	Medium	Medium	Generate dialogue strategies with	MAATE/FAO

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
	due to the distribution of Water. Little interest from local communities to strengthen their technical capacities on climate change issues.			community leaders to socialize the results and products of the proposal Campaigns and strategies communication and information citizen.	
COVID 19	Increase new variants and contagions COVID19.	Medium	Medium	Coordination and articulation of actions based on what was issued by the Emergency operations committee. Follow the security protocols implemented by the National Government. Give priority to digital platforms and online workshops.	MAATE/COE/FAO
Compliance risk	The project not being executed according to the logical framework.	Low	High	The consultants will support the development of several technical documents with clear roles and responsibilities of Government institutions for the project. The project structure will include the participation of NDA to ensure compliance with the logical framework. FAO, as delivery partner, will provide the technical supervision, so the deliverables have the high quality expected.	FAO, PMU
Compliance	Anti-money Laundering and Counter-Financing Terrorism, harassment	Low	High	FAO provides sufficient fiduciary safeguards	FAO

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
	and other misconduct and prohibited practices			<p>against these risks to ensure that the funds are not used by individuals, entities associated with terrorism and money laundering and other prohibited practices. The project team will use structures, national and international consultants contained in its database and roster, to ensure they have been already working with UN agencies without incurring in unfair or prohibited practices. New consultants as well as new service providers will be assessed before being recruited.</p> <p>All recruited personnel shall perform mandatory (online) training courses on Ethics, correct behavior of UN staff, prevention of misconduct, harassment, corruption etc., Missions in the field will be escorted, when needed, as per FAO's procedures.</p>	

6.4 Monitoring

Monitoring Plan

Monitoring will be led by FAO as DP but jointly carried out with the NDA to ensure that country ownership is guaranteed throughout all of the project phases. The National Project Coordinator in coordination with the NDA will ensure that synergies with other Readiness activities are considered to avoid overlap. All reports to the GCF will be put to the consideration of the Project's Steering Committee to make sure that the information is clear and transparent before submission (by FAO) to the GCF.

Interim Progress Reports (IPR)

One IPR will be prepared by FAO every six-month period, in coordination with the FAO local staff and the Lead Technical Officer in the Regional Office and approved by the Funding Liaison Office in FAO headquarters and the NDA. The IPR will inform, and monitor progress made since project effectiveness date and activities planned for the next reporting period. FAO will send IPRs to the GCF. The GCF IPR template will be used for reporting the project implementation.

Completion Report

No later than six months after the end of the implementation period, the DP will prepare a completion report and submit it to the GCF of the approved grant. This comprehensive report will be made available to the public through the NDA. It will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

The reports (IPRs, completion and financial) to be submitted to the GCF, will be as per is included in the second amended Framework Readiness and Preparatory Support Grant Agreement between FAO and GCF, and will include reporting against the logical framework included in section 3.

6.5 Other Relevant Information

Exit strategy

The sustainability of activities is based on compliance with national laws and regulations. Ecuador has developed a robust legislation on climate change, water, food security and health, therefore, the country needs to strengthen technical capacities and develop technical and administrative enabling processes, which allow it to implement this legislation and its public policy instruments at different levels of government and with multiple actors, this translates into an effective governance.

This Readiness proposal will contribute to the fulfillment of the goals of the NDC of Ecuador in the water, agriculture, and health sectors. It will also provide strategy frameworks, governance mechanisms, technical capacities and knowledge sharing for the NDA and institutions involved.

To ensure sustainability and the investments made by the GCF, this preparation will develop an exit strategy. For this process, a roadmap will be designed, with milestones, established and responsible times, who will transfer the information and knowledge of the results achieved to the focal points of the institutions that have participated in the implementation of this Readiness.

The objective of the transfer of information, instruments, methodologies, and technical documents is that national and local public institutions can institutionalize them and use them as part of the construction of public policies that integrate the health, food security and water sectors.

Therefore:

- Deliverable 1.3.1 "Technical document that has the course modules, virtual teaching methodology", will be uploaded to the FAO regional training platform and will have a link to the website of the Ministry of Environment, Water and Ecological Transition, to be stored in the National Registry of Climate Change. The person responsible for transferring this information will be the project coordinator and climate change focal point and technological personal of the MAATE.
- Deliverable 2.2.1a "Technical document that contains the gap analysis of technical, technological, administrative, financial, institutional and public policy barriers that make it impossible to have efficient governance and strengthened institutional arrangements for the integration of the health, food security

and water sectors". This technical document will be transferred to the Undersecretary for Climate Change for publication and will also be aligned with the Fourth National Communication on Climate Change. In the same way, it will serve as a baseline to develop handbook and technical document of an effective governance that integrates the health, food security and water sectors.

- Deliverable 2.2.2a "Handbook and technical document for effective governance that integrate the health, food security and water sectors". These technical documents will be published on the website of the Ministry of Environment, Water and Ecological Transition and will be delivered to the actors involved in the process of execution of this proposal.
- Deliverable 2.2.5a "Technical document and toolkit to include climate change criteria in National Water Plan, National Irrigation Plan, National Water Quality Strategy, National Water and Sanitation Strategy, and National Water Schools Program (In section 2 "Situation Analysis, it details the scope and objective of the government program" Water Schools). These documents will be transferred to the Vice Ministry of Water and zonal coordination of the Ministry of Environment, Water and Ecological Transition. For its implementation in the design of the sectoral public policy and allows to integrate the health and food security sectors. In the same way, it will allow the fulfillment of the NDC implementation plan.
- Deliverable 2.2.5b "Technical and methodological document to include climate change criteria in certification handbook of the National Healthy Municipalities program, validated by the National Designated Authority and Municipalities". This technical document will be transferred to the Ministry of Health, so that they can socialize with the territorial offices and guide the Municipalities to include the climate change approach in their local public policies and manage actions to adapt to climate change that include the water and food security sector. In addition, it will allow compliance with the NDC implementation plan.
- Deliverable 2.2.5c "Three strategic ecosystem management plans and guideline for the Water Protection Areas that include a climate change variable". These management plans will be transferred to the Vice Ministry of Water and the Undersecretary of Water Resources, which will allow them to develop public policies and implement actions to adapt to climate change, in the areas of water protection determined. It will also allow compliance with the NDC implementation plan.
- Deliverable 2.2.5d "A technical document that addresses the effects of climate change on increasing productivity of two prioritized crops and a portfolio of adaptation measures based on current and future climate hazards". This technical document will be transferred to the Ministry of Agriculture, which will allow decision makers to visualize the effects of climate change on prioritized crops. In addition, it will contribute to the development of public policies and contingency plans to mitigate the effects of climate change on Ecuador's agricultural sector. This study will enable compliance with the NDC implementation plan.
- Deliverable 2.2.5e "Technical document for the monitoring on territorial and altitudinal distribution of *A. aegypti* and *A. albopictus*, under climate change scenarios". This technical document will be transferred to the Ministry of Health, in order to generate interactive maps and public policy for the implementation of actions to mitigate tropical diseases caused by *A. aegypti* and *A. albopictus*. In the same way, it will allow the fulfillment of the NDC implementation plan of the NDC.
- Deliverable 2.2.5f "Toolkit for management of climate information in reference to climate rationality, environmental and social safeguards and other requirements for development of climate projects, validated by the National Designated Authority". These tools will be transferred to the Undersecretariat of Climate Change, which will allow to have guidelines for the management of climate information and to have an institutionalized process and structure of social and environmental safeguards. This information will be entered on the website of the Ministry of Environment, Water and Ecological Transition so that those interested in generating climate change projects can access.
- Deliverable 5.1.1.a "Technical document that develops the communication strategy", Deliverable 5.1.2.a "Technical document containing information about communication and education on governance", and Deliverable 5.1.2b "Guideline document, handbook, videos". These communication documents will be transferred to the Ministry of Environment, Water and Ecological Transition to the Undersecretary of Climate Change and the Communication Office with the purpose of being socialized and disseminated through their zonal coordination and web site of the institutions involved in this Readiness.

- Deliverable 5.1.3a "A technical document systematizing the knowledge and information generated by three case studies identified in the coast, highlands, and Amazon with information desegregated by gender regarding the participation of beneficiaries". This technical document will be transferred to the Undersecretary of Climate Change of the Ministry of Environment, Water and Ecological Transition, with the purpose of identifying the processes that could be replicable to integrate the health, food security and water sectors. This information will allow national institutions, sub-national institutions, and local actors to replicate the identified processes and scale to a national level for the development of public policies and strategies for the implementation of climate change adaptation actions.

Finally, the closure process will be accompanied by the focal point of the Ministry of Environment, Water and Ecological Transition, an FAO technical delegate and the technical team of the project.

FAO comparative advantage

FAO is key international agency for climate change adaptation and mitigation interventions in forestry, fisheries, agriculture and landscape (including soil and water management) and other related sectors. FAO is therefore well placed to provide the NDA with the needed readiness support activities that have been outlined in this document.

FAO has renowned experience in developing and reinforcing countries' technical capacities, particularly considering institutional needs, as well as in promoting and facilitating dialogue, consultation and consensus processes with multiple stakeholders.

FAO has also large experience in supporting climate change adaptation and mitigation. Additional information on FAO's work on climate change is available here: <http://www.fao.org/climate-change/en/>

FAO has experience in incorporating climate change with a gender approach.

For decades, the FAO has been supporting many countries in the development of monitoring systems, with the aim of generating information and data needed for international reporting and improving the policies, planning, and management. FAO also produced statistical and data standards to improve data exchange and integration through partnerships with regional and national institutions.

Grievance Mechanism

Within the framework of this project, the NDA shall facilitate the resolution and/or clarification of any concern directly linked to implementation of the project that beneficiaries and involved stakeholders may have, following the Ecuador conflict resolution mechanisms. In case the conflict refers to FAO, the NDA will present the complaints and claims to the Representation of the FAO in the country. If a notice of receipt of the claim is not received within 7 days, the complaint or concern must be sent to the FAO's regional office in Latin America and the Caribbean FAO-RLC@fao.org for action. The project beneficiaries may send a complaint to the FAO Office of the Inspector General, who shall carry out an independent investigation. The procedure for the claims is detailed at <http://www.fao.org/aud/>. Email: Investigations-hotline@fao.org.

FAO is committed to ensuring that its resources are used solely for their intended purposes, that all operations are free from fraud and other corrupt practices, and to being held accountable to donors and beneficiaries for the implementation of its programs. To this end, the Organization has adopted a zero-tolerance policy in respect of fraud and other corrupt practices in all their manifestations. This policy applies, regardless of their location, to all activities and operations of the Organization, whether funded by Regular Programme or Extra-Budgetary Funds; administrative, technical or operational in nature; or implemented by the Organization and/or an implementing partner, including any government agency. This policy applies to all FAO personnel and all contractual arrangements between the Organization and implementing partners, suppliers or other third parties for administrative, technical or operational purposes. The FAO Whistle blower Protection Policy follows the guidelines to report allegations of possible wrongdoing in the activities of the project stated in the Administrative Circular 2019/06¹.

Anti-money Laundering and Counter-Financing Terrorism

As per clause 11.01 (f) of the Framework Readiness and Preparatory Support Grant Agreement between the GCF and FAO, FAO will apply its own fiduciary principles and standards relating to any "know your customer" checks, AML/CFT, and financial sanctions imposed by the United Nations Security Council, which should enable it to comply with the objectives of the Policy on Prohibited Practices and the principles of the AML/CFT Policy.

Low risks of money laundering, terrorist financing, corruption or prohibited practices are foreseen during project implementation. The project team will use structures, national and international consultants contained in its database and roster, to ensure they have been working with UN agencies before. New consultants as well as new structures will be assessed before being recruited. Missions in the field will be escorted, when needed, as per FAO's procedures.

United Nations Security Council sanctions regimes

In accordance with FAO rules and regulations, FAO will perform all necessary actions to ensure that the project be implemented in full compliance with any UN sanctions list that may be of relevance. There are no entities or individuals who are the subject to or affected by United Nations Security Council sanctions regimes will be involved in such projects/activities, either as counterparties or as beneficiaries.

Annex 1

Terms of reference – National Project Coordinator (GCF Readiness Proposal)

Background

The Government of Ecuador is implementing a Green Climate Fund (GCF) readiness project focused on institutional strengthening of the NDA and key stakeholders¹ to strengthen water governance¹⁹ and its institutional frameworks, through comprehensive capacity strengthening programs, management manuals, technical tools to mainstream climate change in public policies and communication strategies, to disseminate information and knowledge exchange, allowing to integrate and achieve the goals of health, food security and water sectors, as defined in the NDC implementation plan

This Readiness project will need to be implemented in close collaboration with a range of stakeholders, as well as with the other Readiness proposals already under implementation to increase efficiency among the Readiness projects.

Location: Quito, Ecuador

Duration: 18 months

Reporting Lines

The Project Coordinator will report to the FAO Representative in and the National Designated Authority of Ecuador (Ministry of Environment, Water and Ecological Transition).

Duties and responsibilities

¹⁹ For this readiness proposal, the concept and its technical framework of water governance have been taken as a strategic mechanism to integrate the health, food security and water sectors.

- Coordinate timely and quality implementation of overall project components providing technical support and ensuring appropriate linkages among the components and among consultants and concerned actors.
- Develop a full project work plan and associated expenditure plan.
- Prepare project reports of progress (every 6 months in accordance with GCF reporting requirements) and briefs as required, including on the incorporation of gender.
- Prepare bid documents including TORs for project experts/consultants working on the various aspects of the project and to the selection process.
- Coordinate and oversee the implementation of activities by project consultants and make sure timelines and implementation plans are complied with. As well as the safeguards of gender and Indigenous People.
- Coordinate the organizing and conducting of assessments, consultations and workshops, including arranging logistics with a gender approach
- Coordinate logistical arrangements with national stakeholders for the various consultancies under the project.
- Coordinate with relevant national stakeholders, in particular the NDA, to ensure maximum delivery and participation in project activities
- Coordinate the development and dissemination of awareness raising materials at the various levels ensuring the materials are developed with a gender approach
- Ensure interventions are well coordinated with other FAO and non-FAO projects in the country and build on FAO comparative advantage, successful practices, lessons learnt.

Minimum requirements

- Master's degree in climate change, water management, agriculture, economy or related area
- At minimum 5-years' experience in climate change or environmental project management and implementation.
- At least 2-3 years' experience in mainstreaming gender and indigenous people strategies.