



## TRACKING INTERNATIONAL ADAPTATION FINANCE TO THE LOCAL LEVEL: A 30-MIN CRASH COURSE

—

Saturday, December 8  
COP24 Capacity Building Hub  
Area E, MR24





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## Project purpose

Look into international climate finance for adaptation activities (OECD data),

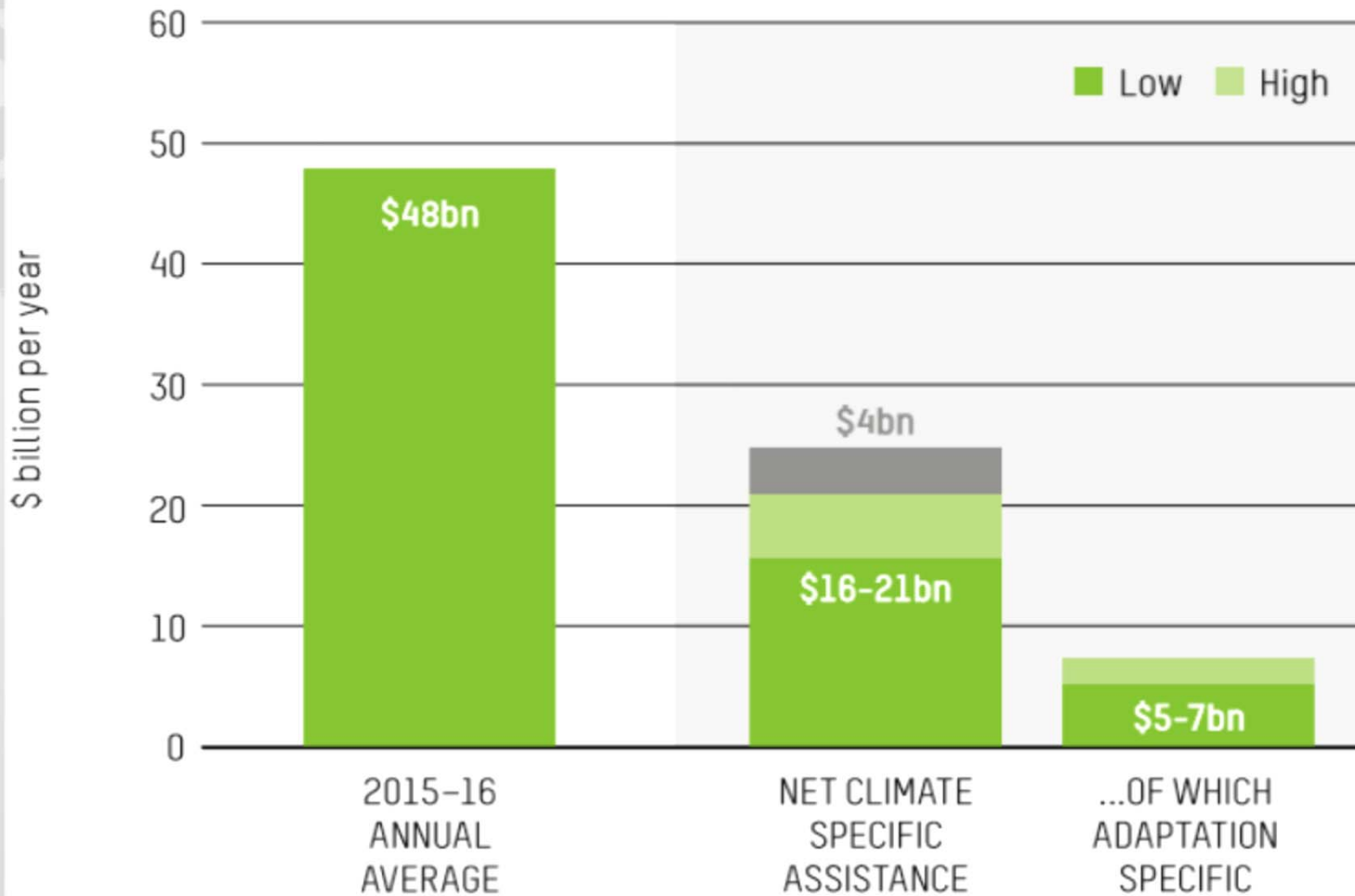
to see if the funding is real (no over reporting),

and if it benefits the poorest and most climate vulnerable parts of the population,

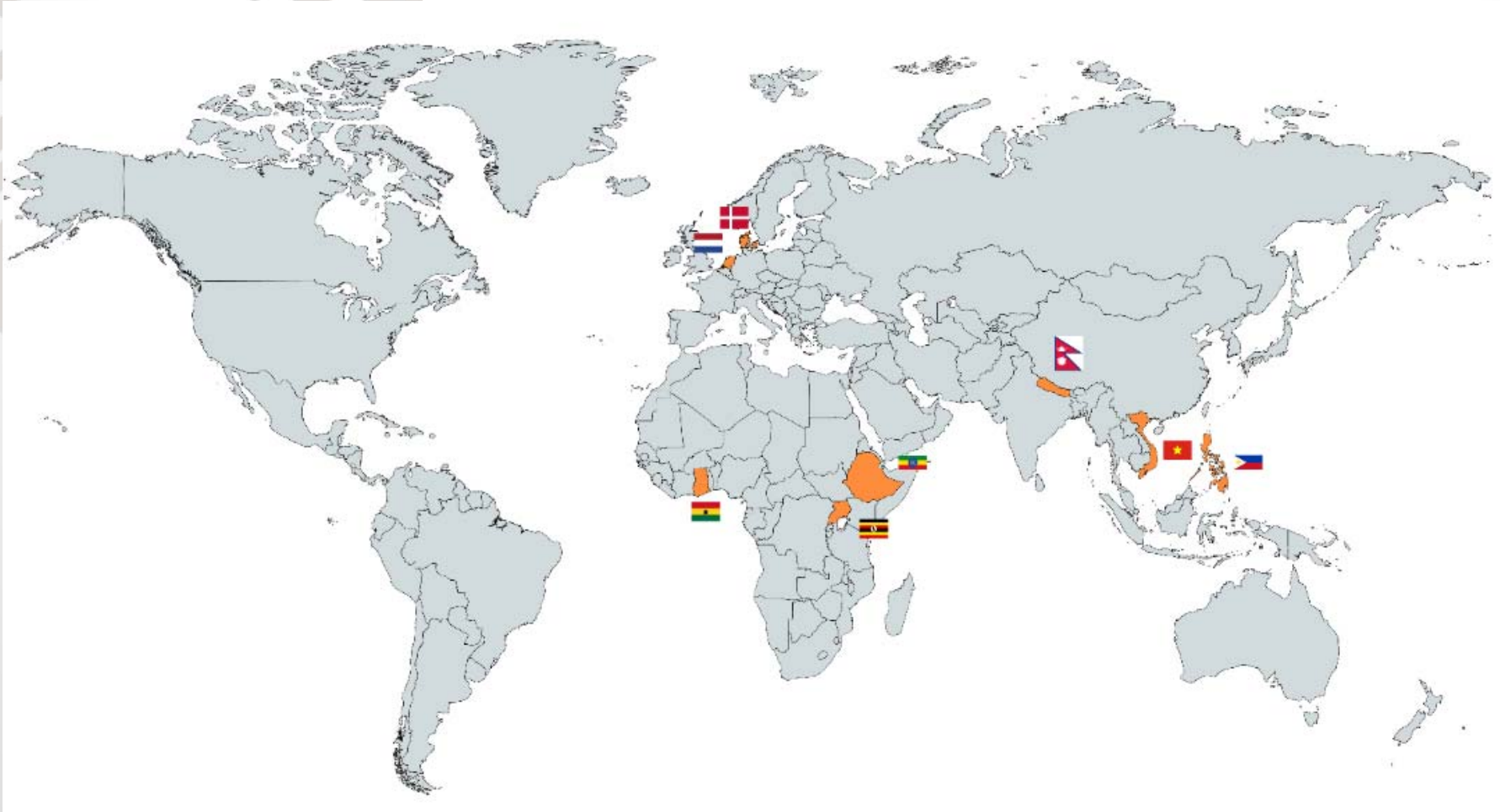
and develop a methodology that civil society can use widely.



Figure 1: Aggregated reports of public climate finance and Oxfam estimate of net climate-specific assistance (2015-16 annual average)



# Partners



## Pilot overview

- Data from OECD about climate finance is extracted
- 20 projects are assessed – starting with 3
  - National reports in August 2019
  - International launch November 2019
  - Followed by advocacy

# METHODOLOGICAL PAPER

## Pilot project on Adaptation Finance Tracking

with CARE Netherlands, CARE Denmark and partners

2. version – 6 November 2018

Christopher Roy, Andrew Hattle and Hans Peter Dejgaard

INKA Consult

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**ANNEX A:** Formats for assessment of each selected adaptation project

*Annexes attached:* “Climate Adaptation International Finance - Brief Overview

Climate finance overviews in Word and Excel files covering five countries: Nepal, Philippines, Uganda, Ghana and Ethiopia (draft versions).

## *Adaptation Finance – using Rio markers*

Donor countries report to two international institutions; the UNFCCC and OECD.

a) Biennial Reports to the **UNFCCC**

b) Donors annual reporting to **OECD DAC**. The data is publicly available in the Creditor Reporting System (CRS) database via OECD-Stat

OECD uses a scoring system with three values of policy markers for **gender and Rio Markers** for climate adaptation and mitigation:

- *Principal objective* (value = **2**): The climate change adaptation objective is explicitly indicated in the activity documentation and is a fundamental reason for the design.
- *Significant objective* (value = **1**): The objective is related to adaptation, but adaptation is not the primary reason for undertaking the activity.
- *Not related to adaptation* (value = **0**).



# Uganda Climate Adaptation International Finance – Overview

INKA Consult

30 October 2018

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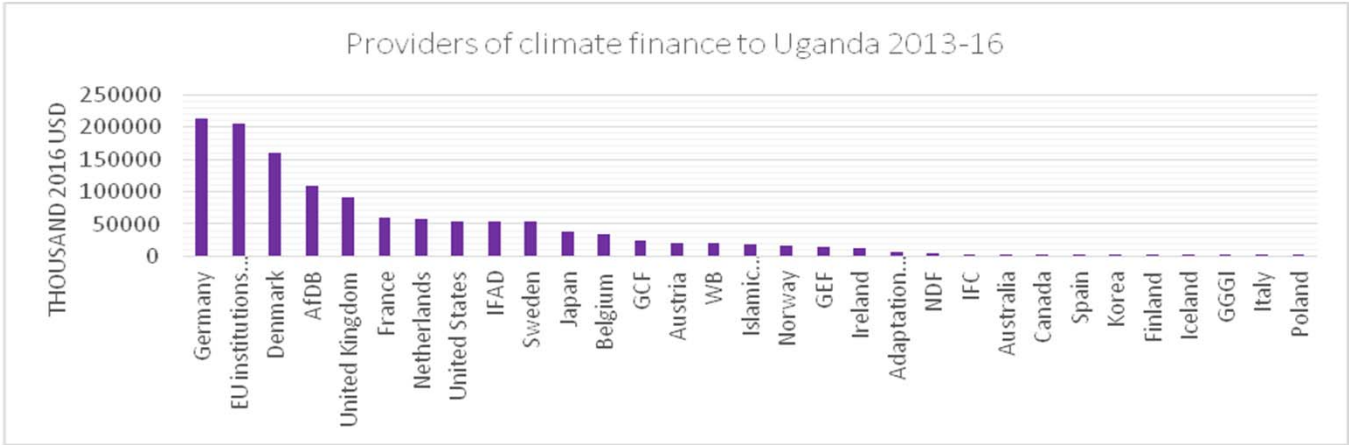
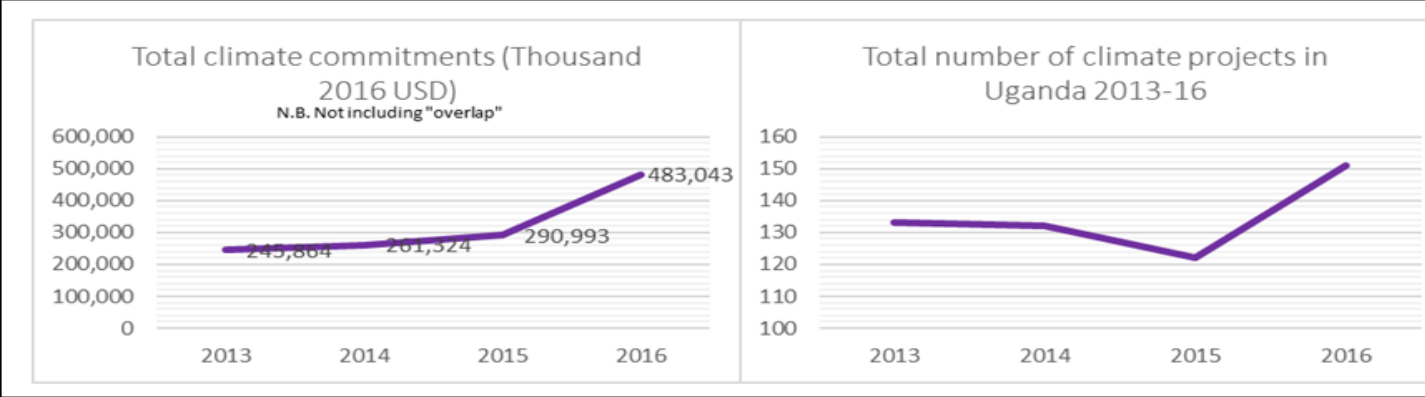
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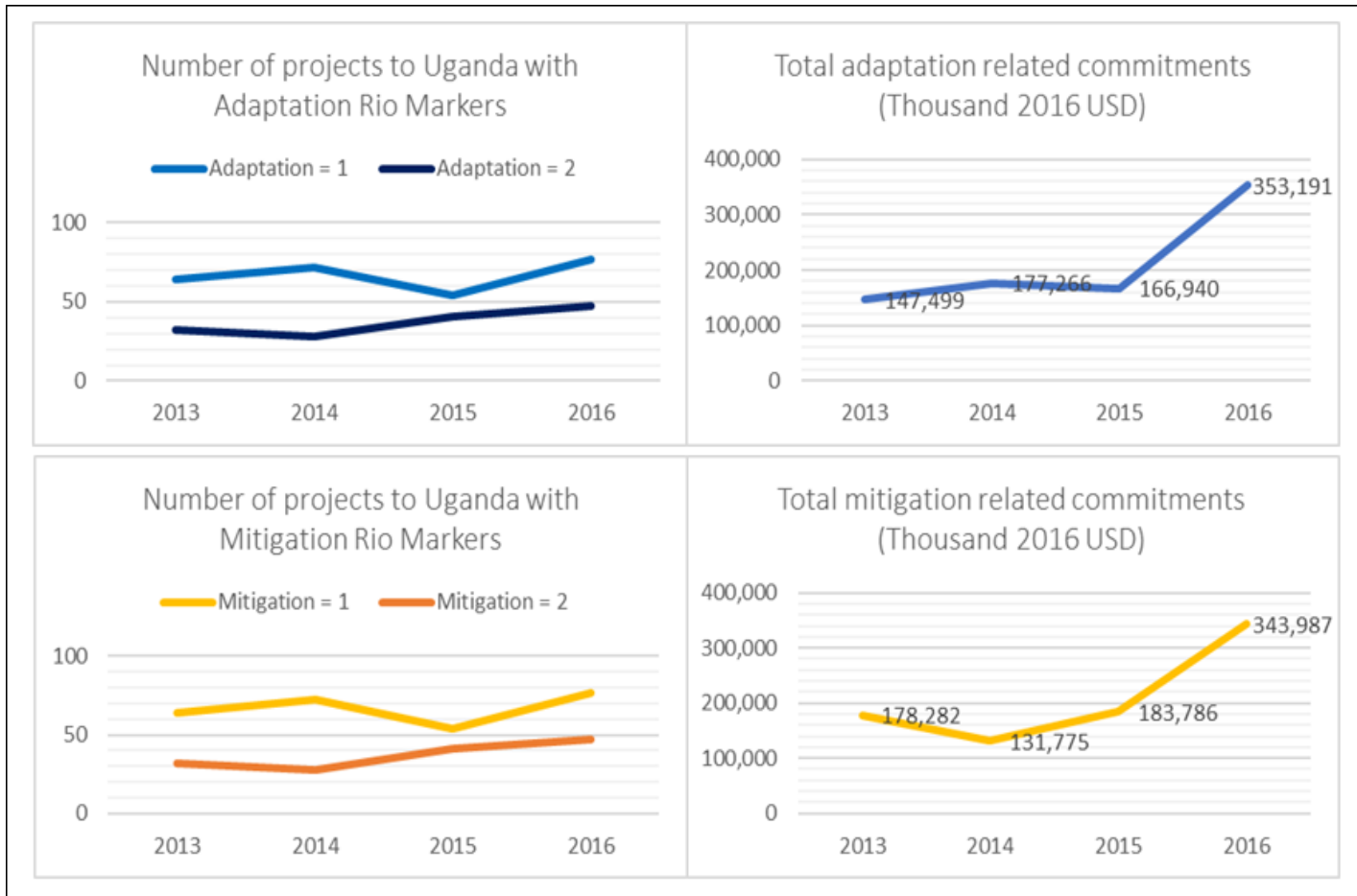
Annex 1: Summary data

Annex 2: Project Level Breakdown

Annex 3: Excel data file



## Numbers and total amounts





## *Adaptation Finance – the 3-step approach*

- Multinational Development Banks (MDBs) agreed ‘*Common Principles for Climate Change Adaptation Finance Tracking.*’
- We will use the structure from their so-called “three-step approach” for tracking of adaptation finance, consisting of the following **3-step approaches**:
  - **(i) setting out the context** of risks, vulnerabilities and impacts related to climate variability and climate change a project or program seeks to address;
  - **(ii) stating the intent** to address the identified risks, vulnerabilities and impacts in project documentation; and
  - **(iii) demonstrating a direct link** between the identified risks, vulnerabilities and impacts, and the **actual activities financed** by that project or program.



Annex 18 guidelines (OECD)  
with many usefull examples  
(open access to OECD database but not to MDBs)

Sector/CRS purpose codes	Mitigation	Adaptation	Rationale for scoring	Examples of qualifying activities
Waste management /disposal – 14050	2, 1 or 0	1 or 0	<p><b>Mitigation</b> Activities that promote modern waste-to-energy with waste collection/recycling (especially separation of biogenic waste) and recovery/use of methane gas can result in significant GHG reductions and therefore justify the application of the mitigation marker (mitigation score 2). If the methane gas is only flared the activity would score 1 and 0 if not captured, as there are no emissions reductions involved.</p> <p><b>Adaptation</b> Effective waste management systems that protect water resources or fragile ecosystems and strengthen their resilience to the impacts of climate change can score against adaptation.</p>	<p><b>Mitigation</b></p> <ul style="list-style-type: none"> <li>• Biogas production and reuse of energy produced by wastewater facilities (mitigation score 2).</li> </ul> <p><b>Adaptation</b></p> <ul style="list-style-type: none"> <li>• Project to reduce risks of urban flooding of water systems due to climate change and causing contamination though sewage overflow (adaptation score 1).</li> <li>• Protect lagoons, which are highly vulnerable to climate change, from salt-water intrusion and contamination (adaptation score 1).</li> </ul>

## **ANNEX A:**

### **FORMATS FOR ASSESSMENT OF EACH SELECTED ADAPTATION PROJECT**

This annex contains tables and a questionnaire that the Assessment Teams can use for undertaking assessments of each of the selected adaptation projects (in the Philippines, Nepal, Uganda, Ghana and Ethiopia). Annex A should be filled out for each of the 20 selected projects.

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## ***Step 2: Names of Assessment Team and Advisory Group***

For CARE it is important to count on the involvement of the national CSO network related to climate adaptation in the country. It is suggested to establish an Advisory Group with people from the various CSOs that can follow and provide feedback/advice to the Assessment Team (formally hosted by one responsible CSO organisation). The following is to be filled out with the composition of the **Assessment Team**:

	Name	Organisation	Function
1.			
2.			
3.			

The following is to be filled out with the composition of the **Advisory Group**:

	Name	Organisation	Function
1.			
2.			
3.			
4.			
5.			
6.			
7.			

### Step 3 and Step 4: List selected three (3) projects for assessments & find project documents

Each country should undertake assessment of 20 adaptation projects that can be found in the project list (extracted from OECD-DAC). In the Methodological Paper (under Step 3) an explanation of the criteria for selection is provided.

It is suggested you start with the assessment of three (3) adaptation projects in each country to gather experiences before assessing the remaining 17 projects.



**Table with key information about the selected projects.**

Project no.	Project name and location in the country	Project document available (yes/no) (Step 4)	Total budget In USD (put in order with highest first)	Loan (only fill in if a loan) Total Loan in USD Grant element in % of total	Adaptation Rio marker (0/1/2)	Mitigation Rio marker (0/1/2)	Gender Marker (0/1)	Main reason (criteria) for selection
1								
2								
3								

If the project is a concessional loan, it is suggested you calculate the grant element of this loan using the "Grant Element Calculator" at the World Bank website.

<https://ida.worldbank.org/financing/resource-management/grant-element-calculator>

## Project assessment filling in 3-step approach

<i>Table with 3-step approach</i>				
Overview about a selected project	Description based on <b>project document</b>	Assessment rating (0 to 10) <i>-based on project document</i>	<b>Observations from sources</b> (e.g. CSOs working in the same area, community leaders, etc.)	Assessment rating (0 to 10) <i>-based on observations</i>
Project title (in full)		Do not fill in the grey boxes		Do not fill in the grey boxes
Project objective				
Location (country-wide, districts, etc.)				
Sector				
Implementing agency / national counterparts				
<b>3-STEP ASSESSMENT</b> (insert your assessments of the three steps + ratings)				



### 3-STEP ASSESSMENT (insert your assessments of the three steps + ratings)

3-STEP ASSESSMENT (insert your assessments of the three steps + ratings)				
<p><i>(step 1):</i>  <b>Climate vulnerability context</b>            For a project to be considered as one that contributes to adaptation, the context of climate vulnerability must be set out clearly using a robust evidence base.</p> <p><i>Guiding questions to consider</i>            - How well does the project set out the local context in the area for project interventions?            - How well does the project set out the context of risks, vulnerabilities and impacts related to climate variability and climate change?</p> <p><i>Secondary data sources to consider:</i>  <i>National climate change strategy/policy; National development plan; National Adaptation Plan of Action (NAPA); Sector-specific strategies; Vulnerability and Impact assessments.</i></p>		(0-10)		(0-10)

## Approach Step 2: Purpose

<p><i>(step 2):</i> <b>Statement of Purpose or Intent</b> Is the intent/objective of the project to address the identified risks, vulnerabilities and impacts related to climate variability and climate change?</p>		(0-10)		(0-10)
<p><i>Guiding questions to consider:</i> - Is climate change adaptation or resilience a fundamental driver of the project's objective? - Is the project objective and main strategy in line with the government's climate change strategy/policy?</p>				

## Approach Step 3: Links vulnerability and project activities

<p><i>(step 3):</i>  <b>Clear and direct link between climate vulnerability and project activities</b>          Is there a demonstrated direct link between the identified risk, vulnerabilities and impacts, and the financed activities?</p> <p><i>Guiding questions to consider:</i></p> <ul style="list-style-type: none"> <li>- How are the implemented project activities aligned to vulnerability and adaptation needs?</li> <li>- How have the interventions helped to improve the situation related to adaptation?</li> <li>- Is the project collaborating well with local institutions and other organizations working with adaptation efforts in the area?</li> </ul>		(0-10)		(0-10)
<b>FINANCE</b>				

## Finance /project budget

<b>FINANCE</b>				
Total budget in the project document (USD)	Budget (grant) =  Budget (loan) =			
Estimate for Adaptation Finance	Budget for adaptation in the project document (if available):		CSO team's rough estimation of the budget for adaptation in the project document:	
Comments about the budget				
<b>TOTAL SCORING</b> (sum of the three step ratings)				

## Assessment of Poverty orientation in the project

Poverty orientation in the selected project	Write a brief answer to the four questions below	Assessment rating (0 to 10)
a. To what extent is poverty orientation to poor communities included in the <b>project design</b> ?		
b. To what extent is the project <b>prioritizing poor</b> communities /ethnic groups /poor regions? (e.g. as confirmed through existing poverty mapping, household surveys and other data)		
c. Is the project applying a <b>Human Rights Based approach</b> ? (addressing the rights of the poor and advocating for policy changes in this respect)		
d. To what degree can poverty orientation be observed in the <b>project implementation</b> ? (field observations)		
<b>TOTAL SCORING for POVERTY</b> (sum of the ratings for the four questions) (0-40)		



## Assessment of Gender in the project

CARE's Gender Marker is an assessment tool that measures the integration of gender into programming, from harmful to transformative. It is designed for planning CARE's own projects (link <http://gender.care2share.wikispaces.net/Gender+Marker>)

Gender aspects in the selected Project	Write a brief answer to the four questions below	Assessment rating (0 to 10)
1. Is this project/programme document informed by some <b>analysis of the gender</b> differences of women, men, boys, and girls?		
2. Is the project/programme planned with <b>indicators that imply the collection and analysis of</b> both sex and age disaggregated data? (for progress reports)		
3. Are project activities planned to <b>meet the distinct needs</b> of women, men, boys, and girls?		
4. Does the project intervention ensure the meaningful <b>participation</b> of women, men, boys and girls in at least one of the following: transparent information sharing; decision-making; responsive feedback mechanisms?		
<b>TOTAL SCORING for GENDER</b> (sum of the ratings for the four questions) (0-40)		

# Final remark

- Will be very interesting getting the rapid assessment of 120 projects (20 in six countries)
- For evidence based advocacy in the countries and in Bonn/COP25