



AFB/PPRC.21/31
26 September 2017

Adaptation Fund Board
Project and Programme Review Committee
Twenty-First Meeting
Bonn, Germany, 10-11 October 2017

Agenda Item 7 d)

PROPOSAL FOR CÔTE D'IVOIRE, GHANA

Background

1. The strategic priorities, policies and guidelines of the Adaptation Fund (the Fund), as well as its operational policies and guidelines include provisions for funding projects and programmes at the regional, i.e. transnational level. However, the Fund has thus far not funded such projects and programmes.

2. The Adaptation Fund Board (the Board), as well as its Project and Programme Review Committee (PPRC) and Ethics and Finance Committee (EFC) considered issues related to regional projects and programmes on a number of occasions between the Board's fourteenth and twenty-first meetings but the Board did not make decisions for the purpose of inviting proposals for such projects. Indeed, in its fourteenth meeting, the Board decided to:

(c) Request the secretariat to send a letter to any accredited regional implementing entities informing them that they could present a country project/programme but not a regional project/programme until a decision had been taken by the Board, and that they would be provided with further information pursuant to that decision

(Decision B.14/25 (c))

3. In its eighth meeting in March 2012, the PPRC came up with recommendations on certain definitions related to regional projects and programmes. However, as the subsequent seventeenth Board meeting took a different strategic approach to the overall question of regional projects and programmes, these PPRC recommendations were not included in a Board decision.

4. In its twenty-fourth meeting, the Board heard a presentation from the coordinator of the working group set up by decision B.17/20 and tasked with following up on the issue of regional projects and programmes. She circulated a recommendation prepared by the working group, for the consideration by the Board, and the Board decided:

a. To initiate steps to launch a pilot programme on regional projects and programmes, not to exceed US\$ 30 million;

b. That the pilot programme on regional projects and programmes will be outside of the consideration of the 50 per cent cap on multilateral implementing entities (MIEs) and the country cap;

c. That regional implementing entities (RIEs) and MIEs that partner with national implementing entities (NIEs) or other national institutions would be eligible for this pilot programme, and

d. To request the secretariat to prepare for the consideration of the Board, before the twenty-fifth meeting of the Board or intersessionally, under the guidance of the working group set up under decision B.17/20, a proposal for such a pilot programme based on consultations with contributors, MIEs, RIEs, the Adaptation Committee, the Climate Technology Centre and Network (CTCN), the Least Developed Countries Expert Group (LEG), and other relevant bodies, as appropriate, and in that proposal make a recommendation on possible options on

approaches, procedures and priority areas for the implementation of the pilot programme.

(Decision B.24/30)

5. The proposal requested under (d) of the decision above was prepared by the secretariat and submitted to the Board in its twenty-fifth meeting, and the Board decided to:

- a. Approve the pilot programme on regional projects and programmes, as contained in document AFB/B.25/6/Rev.2;*
- b. Set a cap of US\$ 30 million for the programme;*
- c. Request the secretariat to issue a call for regional project and programme proposals for consideration by the Board in its twenty-sixth meeting; and*
- d. Request the secretariat to continue discussions with the Climate Technology Center and Network (CTCN) towards operationalizing, during the implementation of the pilot programme on regional projects and programmes, the Synergy Option 2 on knowledge management proposed by CTCN and included in Annex III of the document AFB/B.25/6/Rev.2.*

(Decision B.25/28)

6. Based on the Board Decision B.25/28, the first call for regional project and programme proposals was issued and an invitation letter to eligible Parties to submit project and programme proposals to the Fund was sent out on 5 May 2015.

7. In its twenty-sixth meeting the Board decided *to request the secretariat to inform the Multilateral Implementing Entities and Regional Implementing Entities that the call for proposals under the Pilot Programme for Regional Projects and Programmes is still open and to encourage them to submit proposals to the Board at its 27th meeting, bearing in mind the cap established by Decision B.25/26.*

(Decision B.26/3)

8. In its twenty-seventh meeting the Board decided to:

- a. Continue consideration of regional project and programme proposals under the pilot programme, while reminding the implementing entities that the amount set aside for the pilot programme is US\$ 30 million;*
- b. Request the secretariat to prepare for consideration by the Project and Programme Review Committee at its nineteenth meeting, a proposal for prioritization among regional project/programme proposals, including for awarding project formulation grants, and for establishment of a pipeline; and*

- c. *Consider the matter of the pilot programme for regional projects and programmes at its twenty-eighth meeting.*

(Decision B.27/5)

9. The proposal requested in (b) above was presented to the nineteenth meeting of the PPRC as document AFB/PPRC.19/5. The Board subsequently decided:

a) With regard to the pilot programme approved by decision B.25/28:

(i) To prioritize the four projects and 10 project formulation grants as follows:

1. If the proposals recommended to be funded in a given meeting of the PPRC do not exceed the available slots under the pilot programme, all those proposals would be submitted to the Board for funding;

2. If the proposals recommended to be funded in a given meeting of the PPRC do exceed the available slots under the pilot programme, the proposals to be funded under the pilot programme would be prioritized so that the total number of projects and project formulation grants (PFGs) under the programme maximizes the total diversity of projects/PFGs. This would be done using a three-tier prioritization system: so that the proposals in relatively less funded sectors would be prioritized as the first level of prioritization. If there are more than one proposal in the same sector: the proposals in relatively less funded regions are prioritized as the second level of prioritization. If there are more than one proposal in the same region, the proposals submitted by relatively less represented implementing entity would be prioritized as the third level of prioritization;

(ii) To request the secretariat to report on the progress and experiences of the pilot programme to the PPRC at its twenty-third meeting; and

b) With regard to financing regional proposals beyond the pilot programme referred to above:

(i) To continue considering regional proposals for funding, within the two categories originally described in document AFB/B.25/6/Rev.2: ones requesting up to US\$ 14 million, and others requesting up to US\$ 5 million, subject to review of the regional programme;

(ii) To establish two pipelines for technically cleared regional proposals: one for proposals up to US\$ 14 million and the other for proposals up to US\$ 5 million, and place any technically cleared regional proposals, in those pipelines, in the order described in decision B.17/19 (their date of recommendation by the PPRC, their submission date, their lower "net" cost); and

(iii) To fund projects from the two pipelines, using funds available for the respective types of implementing entities, so that the maximum number of or maximum total funding for projects and project formulation grants to be approved

each fiscal year will be outlined at the time of approving the annual work plan of the Board.

(Decision B.28/1)

10. According to the Board Decision B.12/10, a project or programme proposal needs to be received by the secretariat no less than nine weeks before a Board meeting, in order to be considered by the Board in that meeting.
11. The following project pre-concept document titled “*Improved resilience of coastal communities in Cote d’Ivoire and Ghana* ” was submitted by , *United Nations Human Settlements Programme (UN-Habitat)*, which is a Multilateral Implementing Entity of the Adaptation Fund.
12. This is the first submission of the pre-concept project proposal, using the three-step approval process established for regional projects. The present submission was received by the secretariat in time to be considered in the thirtieth Board meeting. The secretariat carried out a technical review of the project proposal, assigned it the diary number AFR/MIE/DRR/2017/1, and completed a review sheet.
13. The secretariat is submitting to the PPRC the summary the final technical review of the pre-concept for a regional project, both prepared by the secretariat, along with the final submission of the proposal in the following section. The proposal is also submitted with changes between the initial submission and the revised version highlighted.

Project Summary

<u>Cote d'Ivoire, Ghana:</u>	Improved resilience of coastal communities in Cote d' Ivoire and Ghana
<u>Implementing Entity:</u>	United Nations Human Settlements Programme (UN-Habitat)
<u>Project/Programme</u>	USD 1,225,806
<u>Execution Cost:</u>	
<u>Total Project/Programme</u>	USD 12,903,226
<u>Cost</u>	
<u>Project Management Fee</u>	USD 1,096,774
<u>Financing Requested</u>	USD 14,000,000

Project Background and Context:

The overall objective of the project is to increase the resilience of coastal communities and settlements in Ghana and Cote d' Ivoire that are impacted by challenges posed by natural hazards such as erosions, floods and sea-level rise. The pre-concept identifies natural hazards combined with unplanned/unstable urban development patterns as presenting an added challenge to effects on assets and livelihoods of coastal communities and settlements in the two countries. The project therefore aims to plan and implement spatial climate adaptation strategies to address the challenges posed by natural hazards in selected unplanned and inadequate coastal urban expansion areas that lack infrastructure and service provision in the two countries.

Component 1: Climate change adaptation planning at the regional level (USD 1,167,742)

This component will ensure increased technical capacity to define/enhance adaptation strategies at the regional and municipal levels through development of a regional Strategy for sustainable and climate resilient development of coastal areas; technical assistance and training of National Government and regional decision makers and; data and knowledge management platform.

Component 2: Climate change adaptation planning at the i) district / department, ii) city and iii) community level (USD 1,167,742).

This component aims to reduce the exposure to climate change related hazards of 1 Million people, in 6 districts or departments, in 6 cities and in 6 communities. Additionally, it seeks to strengthen institutional and community capacities to anticipate and respond to climate change related hazards. It proposes activities such as the development of City Resilience Assessments and Action Plans; organizing workshops and trainings of city leaders and municipal technical teams with special interest in innovative and successful technologies and approaches to address floods, erosion, develop drainage networks, public space development and service provision.

Component 3: Transformative projects at district / department level (USD 3,503,226)

Through this component, increased adaptation and resilience of the built environment and ecosystems through infrastructure projects, at district scale as well as, increased community resilience will be ensured. Transformative projects implemented under this component relate to - territorial planning projects built upon ecosystem-based solutions to improve human settlements resilience through the restoration of key natural systems, such as lagoons and river deltas, which have direct impact on coastal erosion. Additionally, the project aims to implement transformative interventions through participatory planning and involvement of main actors.

Component 4: Catalytic projects at community level (USD 4,670,968).

The main objective of this component relates to increased adaptation and resilience through urban and ecosystems community-based interventions and; increased socio-economic development.

The catalytic interventions implemented under this component are catalytic urban planning projects for coastal protection and flood risk management. Furthermore, it proposes hybrid engineering and green infrastructure resulting in concrete interventions such as sand motors, sea grass plantation, foreshore solutions, mangrove protection, shellfish reefs, coral reefs restoration, underwater gardens and tropical “rich levee”. Additionally, it would be implemented through municipal and community involvement with contribution of private sector and NGO.

Component 5: Climate change adaptation: legal and financial component (USD 1,167,742)

As part of this component, national and regional level legal frameworks’ objectives and strategies on climate change adaptation and resilience will be reviewed and exchange of best practices will be fostered. Additionally, land use planning, and infrastructure regulations, environmental impact assessment and building codes will be reviewed to establish institutional linkages for long term sustainability of interventions. It also aims to develop financial mechanisms for municipal finance and implement strategic and catalytic projects, linking projects to number of jobs and productivity increase.



ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

ADAPTATION FUND

PROJECT/PROGRAMME CATEGORY: Pre-Concept for a Regional Project

Countries/Region: **Cote d' Ivoire and Ghana.**

Project Title: **Improved resilience of coastal communities in Cote d' Ivoire and Ghana.** Thematic focal area: Disaster **Risk Reduction and Early Warning Systems**

Implementing Entity: United Nations Human Settlements Programme (UN-Habitat)

Executing Entities: Government of Ghana: Leading - **Ministry of Local Government and Rural Development.** Supporting - **Ministry of Environment, Science, Technology and Innovation (MESTI); and Local Planning departments;** Government of Cote d' Ivoire. Leading - **Ministry of Urban Sanitation, Environment and Sustainable Development.** Supporting: **Ministry of Construction, Housing, Sanitation and Urban Planning, and Local planning departments.**

AF Project ID: **AFR/MIE/DRR/2017/1**

IE Project ID: Requested Financing from Adaptation Fund (US Dollars):

14,000,000 Reviewer and contact person: **Alyssa Gomes** Co-reviewer(s): **Dustin Schinn** IE Contact

Person(s): **Javier Torner**

Review Criteria	Questions	Comments on 24 th August 2017	Comments on 9 th September 2017
Country Eligibility	1. Are all of the participating countries party to the Kyoto Protocol?	Yes	
	2. Are all of the participating countries developing countries particularly vulnerable to the adverse effects of climate change?	Yes. Ghana and Cote d'Ivoire are impacted by challenges posed by natural hazards (erosions, floods and sealevel rise). The pre-concept identifies natural hazards combined with unplanned/unustainable urban development patters as presenting an added challenge to effects on assets and livelihoods of coastal communities and settlements in the two countries.	

Project Eligibility	1. Have the designated government authorities for the Adaptation Fund from each of the participating countries endorsed the project/programme?	Yes	
	2. Has the pre-concept provided necessary information on the problem the proposed project/programme is aiming to solve, including both the regional and the country perspective?	<p>Regional perspective is unclear. The pre-concept does identify the problem from the two respective country perspectives. However, the concrete activities are currently not specified at all. The added value of a regional approach would need to be strengthened further.</p> <p>CR 1: The pre-concept would benefit from clarifying the added value of a regional approach. For instance, investing in the resilience of transnational infrastructure, or otherwise utilizing commonalities and elements of synergies between the two countries' adaptation planning exercises.</p>	<p>CR 1: Sufficiently Addressed The revised pre-concept provides a clearer justification for a regional perspective based on identifying common risks and proposing measures to address these, based on joined approach for the two countries. The revised pre-concept demonstrates the added value a regional approach based on positive impacts expected to extend beyond the single country through the provision of transnational interventions. (Page 3)</p>

	<p>3. Have the project/programme objectives, components and financing been clearly explained?</p>	<p>Unclear. The objective and component financing has been sufficiently explained for Component 1, 2 and 5 at the pre-concept stage. It has not been sufficiently explained for Component 3 and 4. Furthermore, it is unclear why regional, national and subnational adaptation planning exercises require more resources than National Adaptation Plans under the UNFCCC.</p> <p>CR 2: Please provide details of envisaged transformative infrastructure projects at the district level (component 3) and catalytic projects at the community level (component 4). Related to the above comment, project description would need to provide further details on specific activities and investments that justify the amounts requested from the Adaptation Fund.</p>	<p>CR 2: Sufficiently Addressed at pre-concept The revised pre-concept includes details of projects such as territorial planning projects built upon ecosystem-based solutions (Component 3) and; motors, sea grass plantation, foreshore solutions, mangrove protection, shellfish reefs, coral reefs restoration, underwater gardens and tropical “rich levee” (Component 4). (Page 2-3)</p> <p>At the concept stage, please provide further details on the kind of “hard” measures envisaged by the project.</p>
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	<p>4. Has the project/programme been justified in terms of how:</p> <ul style="list-style-type: none"> - it supports concrete adaptation actions? - it builds added value through the regional approach? - it promotes new and innovative solutions to climate change adaptation? - it is cost-effective? - it is consistent with applicable strategies and plans? - it incorporates learning and knowledge management? - it will be developed through a consultative process with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and 	<p><u>Concrete adaptation actions</u></p> <p>The “concreteness” of the proposed activities needs further demonstration.</p> <p>The pre-concept provides an initial idea of the process to identify, and mechanisms to support innovative actions with a specific focus on resilient infrastructure planning, increased resilience of women and vulnerable populations and; land use efficiency for environmental preservation.</p> <p>Same as CR 2 -The pre-concept needs to provide concrete options of projects identified as transformative in the Resilience Framework for Action.</p> <p><u>A regional approach</u></p> <p>Unclear</p> <p>Same as CR1 - The regional approach for the preconcept needs to strengthened by providing an added value of a regional approach in the revised pre-concept.</p> <p><u>New and innovative solutions</u></p> <p>Unclear.</p> <p>The pre-concept provides the initial idea of territorial and urban planning and design, as a tool to address climate changes in an integrated manner. However, options of specific infrastructure envisaged in the investment areas are missing. Please provide this information in the revised pre-concept.</p> <p><u>Cost-effective</u></p> <p>Unclear.</p> <p>Management cost-effectiveness is justified due to existing presence of UN-Habitat staff, the ongoing projects, and close work with ministries. However,</p>	<p>CR 1 and CR 2: Addressed</p> <p>The revised pre-concept provides a clearer justification for a regional approach. (Page 3-4)</p> <p>Specific examples of concrete adaptation actions have been demonstrated in the revised preconcept. In addition to management costeffectiveness, the cost-effectiveness of localising climate change challenges through urban planning for sustainable and resilient development and; transformational community based income generation activities has been provided.</p> <p>At the concept stage, the project would benefit from demonstrating how community based income generation activities will involve women and identified vulnerable groups to ensure benefits are shared equally by all members of the community.</p>
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	<p>Social Policy of the Adaptation Fund? - it will take into account sustainability?</p>	<p>overall cost-effectiveness can be only clearly assessed once the proponent provides additional details of the specific activities to be supported under project.</p> <p><u>Applicable strategies and plans</u> Unclear. The pre-concept identifies alignment of project outcomes with the strategic priority areas of the two countries. However, clear linkages to adaptation strategies and plans can only be clearly assessed once more details on the specific activities to be supported under this project are provided (same as CR 2).</p>	
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		<p>CR 3 - Please also articulate how the proposed project activities will ensure regional, national and local level coordination. It would also be beneficial to be more specific on how the existing local governments and extension services in each country will be involved and strengthened.</p> <p><u>Learning and Knowledge management</u> – Yes. Specific resources have been allocated for knowledge exchanges and infusing experiences through regional platforms.</p> <p><u>Consultative process</u> Yes. Details on the consultative process are sufficient at the pre-concept stage. At full concept stage please provide some additional detail on gender dimension and vulnerable groups, stating clearly how they will benefit from the project interventions.</p> <p><u>Compliance with Environmental and Social Policy</u> Unclear. The concrete activities are currently not specified at all, and could include anything. Given the inherent risks associated with such interventions, the project could be a category A project if no restrictions are included on possible interventions. This USP approach could be acceptable and justified for minor interventions with very limited ESP risks but would not be justified for any larger infrastructure or dredging.</p>	<p>CR 3: Sufficiently Addressed The revised pre-concept provides an explanation for multi-scale coordination based on knowledge sharing and cross-national activities such as workshops, rapid planning studios and resilience action plans. Inter-ministerial and inter-municipal coordination is envisaged to be facilitated by the designation of focal points in key ministries and municipalities. (Page 3)</p> <p>CR 4: Sufficiently Addressed at pre-concept stage ESP risks have been acknowledged and there is an intent to align with the Adaptation Fund ESP. Some “hard” interventions are proposed for Component 3 and 4, which are expected to place the project in Category B. The proponent aims to plan and design larger interventions in a way that they will not trigger principles leading to a category A Classification. There is an intent to develop an ESMP for identified risks at the full proposal stage. (Page 6)</p>
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		<p>CR 4: Please provide details of specific activities, acknowledgements of specific ESP risks and demonstrate compliance with the Adaptation Fund ESP.</p> <p><u>Sustainability</u> Needs clarification. Sustainability is attributed to the capacity building and participation of stakeholders at all levels. (Page 5)</p> <p>CR 5: Thought is given to sustainability of activities. However, the project pre-concept could benefit further from providing a concrete output to develop a sustainability strategy.</p>	<p>CR 5: Sufficiently Addressed at pre-concept stage Capacity building and revenue generation activities such as such as sea weed production; seashell production, sub-aquatic activities etc. are directly linked to the restoration and preservation of natural ecosystems and; sustainability of the project beyond the project period. (Pg.5)</p>
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	5. Does the preconcept briefly explain which organizations would be involved in the proposed regional project/programme at the regional and national/sub-national level, and how coordination would be arranged? Does it explain how national institutions, and when possible, national implementing entities (NIEs) would be involved as partners in the project?	Yes. The pre-concept provides sufficient detail on the regional and national entities involved. At the concept stage, it would be useful to narrow the focus on local institutions of both Ghana and Cote d'Ivoire and the implementation arrangements of the projects.	
Resource Availability	6. Is the requested project / programme funding within the funding windows of the pilot programme for regional projects/programmes?	Yes	
	7. Are the administrative costs (Implementing Entity Management Fee and Project/ Programme Execution Costs) at or below 20 per cent of the total project/programme budget?	Yes. The admin costs are estimated at 16.3 % of the total finance requested.	

Eligibility of IE	8. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	Yes	
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Technical Summary	<p>The overall objectives of the project are:</p> <ul style="list-style-type: none"> Increased resilience of coastal communities and settlements in Ghana and Cote d'Ivoire by providing technical assistance in urban adaptation planning and concrete pilot projects for the climate-resilient sustainable development of coastal areas to the national governments and selected local governments in Ghana and Cote d'Ivoire. Strengthen institutional and civic awareness, develop the capacity of urban development actors and support the systematic transformation in the institutional and regulatory framework to implement climate change adaptation strategies and projects in coastal areas. <p>The initial technical review found that though the project clearly identifies that negative impacts of natural disasters on the two countries, it fails to specify the envisaged concrete adaptation activities as part of the project. The project components seem to focus mainly on details related capacity building and technical assistance, including awareness raising, learning and</p>
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	<p>knowledge management, with no clear details as to the specific investments in the infrastructure that would be envisaged as part of the project.</p> <p>In this respect, the clarification requests (CRs) are:</p> <p>CR 1: Clarify the added value of a regional approach. For instance, investing in the resilience of transnational infrastructure, or otherwise utilizing commonalities and elements of synergies between the two countries' adaptation planning exercises. CR 2: Provide details of envisaged transformative infrastructure projects at the district level (component 3) and catalytic projects at the community level (component 4).</p> <p>District level</p> <p>CR 3: Articulate how the proposed project activities will ensure regional, national and local level coordination. It would also be beneficial to be more specific on how the existing local governments and extension services in each country will be involved and strengthened.</p> <p>CR 4: Provide details of specific activities, acknowledgement of specific ESP risks and demonstrate compliance with the Adaptation Fund ESP.</p> <p>CR5: Provide a concrete output to develop a sustainability strategy.</p> <p>The final technical review finds that the proponent has answered all the clarification requests and has provided sufficient information at the pre-concept stage.</p> <p>At the concept stage, the project would benefit from:</p> <ul style="list-style-type: none"> (a) Clear articulation of the climate change related hazards at the municipal and community level. (b) Details of "hard" measures envisaged by the project. (c) Provide details of the consultative process, stating clearly the marginalised and vulnerable populations consulted (women, girls, youth, and indigenous groups). (d) Demonstrate how community based income generation activities will involve women and identified vulnerable groups to ensure benefits are shared equally by all members of the community. (e) Provide additional detail on e.g. aspects of the projects and resources devoted to the selected local governments in Ghana and Cote d'Ivoire as well as resources specially targeting vulnerable groups e.g. number of vulnerable persons (gender disaggregated) targeted in training and other capacity building activities. (f) Provide details of UN-Habitat tools mentioned, their applicability and outcomes are articulated. (g) Specify the allocation of resources to knowledge sharing activities to target and vulnerable population at the local level.
	<ul style="list-style-type: none"> (h) Provide details on how different revenue-generating activities would be developed and adopted by communities in collaboration with the private sector.
Date:	9 th September 2017



ADAPTATION FUND

PRE-CONCEPT FOR A REGIONAL PROJECT/PROGRAMME

PART I: PROJECT/PROGRAMME INFORMATION

Title of Project/Programme:	Improved Resilience of Coastal Communities in Cote d' Ivoire and Ghana.
Countries:	Cote d' Ivoire and Ghana.
Thematic Focal Area:	Disaster risk reduction and early warning systems
Type of Implementing Entity:	MIE
Implementing Entity:	United Nations Human Settlements Programme (UN-Habitat).
Executing Entities:	Government of Ghana: <i>Leading:</i> Ministry of Local Government and Rural Development. <i>Supporting:</i> Ministry of Environment, Science, Technology and Innovation (MESTI); and Local planning departments ¹ . Government of Cote d' Ivoire. <i>Leading:</i> Ministry of Urban Sanitation, Environment and Sustainable Development. <i>Supporting:</i> Ministry of Construction, Housing, Sanitation and Urban Planning, and Local planning departments ² .
Amount of Financing Requested:	US\$ 14 million.
Project duration:	4 years

Project / Programme Background and Context:

The Governments of Ghana and Cote d' Ivoire have requested UN-Habitat to support coastal communities and cities to adapt to Climate Change and build resilience to coastal erosion. This project proposal is the result of these requests to ensure the continuation of the long engagement of UN-Habitat in Ghana and Cote d' Ivoire.

Urban Communities in West-Africa are growing at unprecedented rates and it is estimated that 40% of the people living in Ghana and Cote d' Ivoire are settled in coastal zones, totalling more than 20 million people³. Therefore, the multiple climate change impacts on the coastal zone represents a significant risk to economy and people, especially to the most vulnerable whose livelihood relies mainly on natural resource-based activities. More specifically, climate related hazards include a projected one-meter rise⁴ in sea level that will result in regional land loss of

¹ Accra Metropolitan District, Tema Metropolitan District, Ningo-Prampram District (lead partner).

² Abidjan, Grand-Bassam, Grand – Lahou.

³ World Bank. (2012) and Country Fact Sheets prepared for West Africa Coastal Climate Change National Adaptation Planning Workshop ⁴ IPCC AR5.

18,000 km² along the West African coast¹. The combination of unplanned/unsustainable urban development patterns and the changing climate represents an added challenge with increased effects on the assets and livelihoods of urban residents. Due to the increasing population pressure in coastal areas, national and local governments need to plan in advance and strengthen their capacities to shift to a more sustainable development and governance of the territory.

The present project proposes to plan and implement spatial climate adaptation strategies to address the challenges posed by natural hazards (erosion, floods and sea level rise), in selected unplanned and inadequate coastal urban expansion areas that lack infrastructure and service provision in Ghana and Cote d' Ivoire (in 3 districts and 3 departments respectively). The project promotes a specific focus on resilient infrastructure planning, increased resilience for women and vulnerable populations, and land use efficiency for environmental preservation. Given the regional similarity of the climate hazards and vulnerabilities, working at the regional scale will allow an approach towards addressing the macro and micro dynamics of climate change impacts on the coastal communities.

This regional scope will allow sufficient experience and conclusions for replication of successful solutions for climate change adaptation, in other coastal countries in West Africa.

Project / Programme Objectives:

The overall objective of the project is to increase the resilience of coastal communities and settlements in Ghana and Cote d' Ivoire.

The sub-objectives of the project, which are in line with the project component below and AF outcomes, are:

1. Increase technical capacity to define/enhance adaptation strategies and planning at the regional level
2. Strengthen local institutional and community capacities to anticipate and respond to climate change related hazards.
3. Increase resilience of the built environment and ecosystems through infrastructure projects at district scale and increase community capacity to manage and maintain these interventions.
4. Increase resilience of urban and ecosystems community-based interventions and strengthen municipal staff and community capacity to manage and maintain these interventions.
5. Support the systematic transformation in the institutional and regulatory framework to implement climate change adaptation strategies and projects in coastal areas.

Project / Programme Components and Financing

All interventions will take place in both Ghana and Cote d' Ivoire. **Project Duration:** 4 years

Project/Programme components	Expected Outcomes	Expected Outputs	Amount
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¹ WACA.(2016) Building Climate Resilience of Coastal Areas in West Africa. Journalists Workshop.

1. Climate change adaptation planning at the regional level	<ul style="list-style-type: none"> Increased technical capacity to define/enhance adaptation strategies at the regional and municipal levels 	<ul style="list-style-type: none"> 1 Regional Strategy for sustainable and climate resilient development of coastal areas. Resilience of Coastal communities as part of 2 National Adaptation Plans (NAPs) Technical assistance and training of National Government and regional decision makers. At least 25 staff. Data and knowledge management platform. 	1,167,742
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2. Climate change adaptation planning at the community level
- Reduce the exposure to climate change related hazards of 1 Million people, in 6 municipal departments, ii) city and iii) communities.
 - and Action Plans
 - Development of 6 City Resilience Assessments
 - Workshops and trainings of city leaders and district / 1 Million people, in 6 municipal technical teams, at least 25 staff, to understand and implement climate resilient strategies and projects
 - 1 Report of collected spatial data, related to urban planning and climate change adaptation institutional and strategies, its analysis and prioritisation
 - Strengthen community capacities to anticipate and respond to climate change related workshops.
 - Resilience Framework for Action for each of the selected cities
 - Peer-to-peer city learning and exchange hazards.
 - Workshops and trainings for the technical staff in municipalities and communities (at least 25 people), with special interest in innovative and successful technologies and approaches to address floods, erosion, develop drainage networks, public space development and service provision
3. Transformative projects at district / ecosystems through
- Implemented transformative projects identified
 - Increased adaptation and resilience in the Resilience Framework for Action.
 - Implemented territorial planning projects built department level and upon ecosystem-based solutions to improve infrastructure projects, at human settlements resilience through the district scale.
 - restoration of key natural systems, such as lagoons (Ébrié Lagoon in Cote d'Ivoire) and community resilience.
 - Increased river deltas (Volta river in Ghana), which have direct impact on coastal erosion. Example of 3,503,226 communities will have approximately 30 km strategic plan for delta acquired the capacity to preservation (drainage, sand removing, manage and maintain replantation, control of amount of water used these interventions. for agriculture) then addressed locally by communities.
 - Implementation through participatory planning and involvement of main actors.
4. Catalytic projects at adaptation and resilience through urban and infrastructure resulting in concrete interventions based interventions. such as sand motors, sea grass plantation, Increased socio- foreshore solutions, mangrove protection,

	economic development. shellfish reefs, coral reefs restoration, 4,670,968 • Municipal staff and underwater gardens and tropical “rich levee”. communities will have - Implementation through municipal and acquired the capacity to community involvement with contribution of manage and maintain private sector and NGO. (number of projects these interventions. and prioritization according to stakeholders' requirements)		
5. Climate change	- Review of national regulations on climate		
adaptation: legal and financial will be	<ul style="list-style-type: none"> At national and regional level legal framework's objectives exchange of best practices. 1,167,742 component and strategies reviewed and related in 	change adaptation and resilience and	
	order to establish coordination between countries.	<ul style="list-style-type: none"> - Review of land use planning and infrastructure regulations, environmental impact assessment and building codes. - Development of proposals for institutional and legal change to support implementation, ensuring long term sustainability. - Development of financial mechanisms for municipal finance and implementation of strategic and catalytic projects, linking projects to number of jobs and productivity increase. - Initial phase for development of land tenure and land readjustment for climate change adaptation. 	
- Total components			11,677,420
- - Project/Programme Execution cost			1,225,806
- Total Project/Programme cost			12,903,226
Project/Programme Cycle Management Fee charged by the Implementing Entity (if applicable)			1,096,774
- Amount of Financing Requested			14,000,000

PART II: PROJECT / PROGRAMME JUSTIFICATION

Project components: regional scale of the project

In order to target the root causes of the previously mentioned challenges and to provide long term sustainable solutions, interventions need to respond to climate change originated hazards, which can only be properly understood and tackled at a regional scale. In particular, coastal erosion dynamics are transboundary and need to be understood both at the regional and at the national scales.

Consequently, this regional perspective is necessary not only during the studying and analysis stages, but also during the implementation of the transformative and catalytic interventions. Through this exercise the project will aim at having a joined approach for the two countries allowing further identification of common hazards and risks and measures to address these from a regional perspective. Averting the negative effects and maximizing the positive effects that interventions may have in neighbouring countries will be ensured by the regional approach, as the implementation of transnational interventions is expected to result in impacts larger than the scale of a single country. This exercise will set an example for the bigger region by establishing an observatory in Ghana and Cote d'Ivoire as a starting point that could later be scaled up.

Ultimately, international, national and local coordination will be enhanced through knowledge sharing and cross-national activities such as workshops, rapid planning studios, resilience action plans etc. that will generate the international understanding and expertise on coastal resilience for the region. In order to also provide interministerial and inter-municipal coordination, the designation of focal points in key ministries and municipalities will be facilitated by supporting on contracts funding. This will assure appropriation, participation and ownership of the project at the different scales and within the different actors involved.

Promotion of new and innovative solutions

Territorial and urban planning and design is a very powerful tool to analyze, understand and propose concrete strategies and projects and innovative technical solutions to address climate change challenges in an integrative manner.

Furthermore, the development of planning frameworks through transformative projects (urban scale) and catalytic projects (community scale) ensures that transformative interventions are implemented within short and medium-term timeframes.

Population growth, coastal erosion, spatial development, watershed management, biodiversity and waste management are inherent layers of urban planning processes. Localization of climate change challenges through urban planning is an innovative methodology to promote sustainable and resilient development that has been successfully applied by UN-Habitat in a number of projects. The following innovative tools developed by UN-Habitat will be applied in the project (further information will be included at the concept note stage): the City Resilience Action Plan tool (City RAP), the Planned City Extensions (PCE) and the Planned City Infills (PCI), the transformative and catalytic projects, the Participatory and inclusive land readjustment (PILAR), and the Urban Planning and Design Lab.

Cost-effectiveness

Urban Planning is the most cost-effective urban development and adaptation strategy as it is significantly less costly to apply a forward looking approach rather than to react after natural hazards and informal development have occurred. Costeffectiveness will be achieved through the engagement of community groups as well as through the development of community-based income-generating activities. Management cost-effectiveness is ensured by the existing presence of UN-Habitat staff, the ongoing projects, and a close work with ministries. Ultimately, the development of coastal planning initiatives requires the mobilization of resources and stakeholders across different scales. In this sense, long-term sustainable and feasible solutions will only be possible by developing a resource mobilization strategy that benefits from economies of scale.

Consistency with national or sub-national strategies

(i)Ghana: the project will help achieving the goals of the *Ghana's Intended Nationally Determined Contribution (INDC)* which is based on *Ghana Shared Growth Development Agenda II*, the *40-year socio-economic transformational plan* and the *National Climate Change Policy*. The project will tackle building climate resilient strategic infrastructure, which is identified as an strategic area for policy action in the INDC. More specifically, it addresses the objectives, strategies, and priority actions specified by the *National Climate Change Adaptation Strategy*. The different components will focus on the areas prioritised by the *National Climate Change Policy*, also supporting and giving continuation to *Ghana's Plan of Action on Disaster Risk Reduction and Climate Change Adaptation (2011/2015)*. The components of the proposed project will support activities of the plan such as: ensuring disaster risk

reduction is a national and local priority with a strong institutional basis for implementation; ensure regional, national and local coordination; identification and assessment of disaster risks; use knowledge, innovation and education to build culture of safety and resilience; and reinforcing land-use planning and other technical measures to build resilience. Ultimately, the project will leverage the achievements of the National Adaptation Planning (NAP) process established under the UNFCCC.

(ii) Cote d' Ivoire: the project will work on several of the most relevant national challenges and will be aligned with strategies from the *INDC, the National Adaptation Plan, the National Environment Action Plan, the National du Developpement durable en Cote d'Ivoire dans la perspective de Rio+20, the National Development Plan 2012-2015, and the Programme National Changement Climatique 2015-2020*.

Regarding risk reduction the main document the project will be aligned with is the *Stratégie Nationale de Gestion des Risques de Catastrophes & Plan d'Action*. The project will support initiatives from these plans such as: improvement of disaster risk reduction and coastal areas management, elaboration of a coastal adaptation strategy, build active protection structures, ecosystems restoration, better management of natural resources, and consolidation of co-operation links between Cote d' Ivoire, the West African region and the international community. The project will also leverage the achievements of the National Adaptation Planning (NAP) process established under the UNFCCC.

Learning and knowledge management

Through platforms such as the Abidjan Convention, it is expected that the project and its inputs to regional and national frameworks will be actively shared with other governments, as well as the lessons learnt. For the specific project, a number of technical workshops, trainings, town hall meetings, working sessions, charrettes and peer-to-peer learning activities will be organized at the regional, national, local and community scales. The project also envisions the creation of a data management and knowledge sharing platform to serve as a tool for capacity development and networking.

The consultative process

The previous work developed by UN-Habitat in Ghana and Cote d' Ivoire follows the participatory approach methodology. In Ghana, the ongoing National Priority Planned City Extension in the Greater Accra Region has managed to mobilize national and local governments as well as private sector and communities. UNHabitat, in a partnership with the Creative Industries Fund of the Netherlands developed a plan for the coastal area of the Ningo-Prampram District. The plan included initial adaptation strategies related to sea level rise, temperature increase, floods and draughts and environmental preservation. In Ivory Coast, initial consultations for the participatory process already took place following the Government requests in July 2016. Meetings were held with different Ministries, municipalities, communities and international organizations to define the scope of the intervention to promote participative urban planning and environmental protection in coastal cities.

For the concept note stage, consultations in both Cote d' Ivoire and Ghana will be held with National and local governments, local communities, NGO's UN agencies and other relevant stakeholders. Regarding the full proposal, consultations will focus on identifying and selecting the specific interventions needed. This will take into consideration their adaptation benefits, their cost effectiveness, and its environmental and social impacts and risks, especially for the most vulnerable groups (women, youth, elderly, disabled people, indigenous groups, etc.).

Sustainability of the project/programme

The sustainability of the project is linked to the creation of competitive capacity to provide quality environmental services such as mangrove restoration or seashell reefs protection. These services will be demanded by the government, at national and municipal level, the private sector and also communities, given the value of land for example at the touristic sector. They also gain value as means of revenue generation for communities. Revenue generating activities such as sea weed production, sea shell production, sub-aquatic activities etc. is directly linked to the restoration and preservation of natural ecosystems that are also the natural tools to improve coastal resilience. These income generating activities are key for the sustainability of the project beyond the project period.

The sustainability of the project is linked to the involvement and capacity building of national and municipal governments, local communities and other stakeholders during the processes. It is also ensured given the alignment of the project with regional and national priorities, building on existing governmental allocations, on international funds for urban development and resilience, and on the development of bankable projects that are ready to be funded by lending institutions. In addition, the project is conceived as an articulation of different revenue-generating activities to be developed and adopted by communities and in collaboration partnership with the private sector. The establishment of required management and maintenance mechanisms in the developed projects at the different levels will ensure that human and financial resources are allocated to the projects until they are able to reach a break-even point.

Economic, social and environmental benefits

The project will promote socio-economic development, linking to the regional and national priorities to mobilize resources for implementation, but also at the municipal and community levels, by developing transformative and catalytic projects that are revenue-generating and that have the potential to act as catalysers for the creation of jobs and economic activities. In addition, the sustainable development of coastal zones will protect these economic hubs that host major ports and industrial facilities accounting for more than 150\$ billion annually in trade⁶, and fisheries accounting for more than 600\$ million in exports⁷. This will contribute to food security, supporting the most vulnerable communities who have natural resource-based livelihoods.

Environmental benefits appear also at different levels. At the national scale, the project will deduct specific recommendations for climate change adaptation frameworks and at the municipal and community scales, the urban planning process will define adaptation strategies and concrete projects that will positively impact biodiversity, preservation of agricultural and environmental areas, coastal protection against erosion and floods and sea level rise adaptation through anticipation and construction of infrastructure. Other additional environmental benefits would be the adequate management of watersheds through a drainage network, the establishment of areas and systems for waste collection and the reforestation of coastal areas linked to a more efficient and compact use of urban land.

Compliance with Adaptation Fund Environmental and Social policy

The proposed project seeks to fully align with the Adaptation Fund's Environmental and Social Policy (ESP). For the concept note, the entire project, project components and activities will be screened to identify potential environmental and social risks and impacts using the 15 Adaptation Fund Principles. For the potential risks and impacts identified, mitigation measures will be proposed. For the full proposal, management and monitoring arrangements for dealing with risks will be included. An ESMP will be included if required at that stage. With the information available at this stage the project is expected to fall into medium risk category B and aims to plan and design larger interventions in a way that they will not trigger principles leading to a category A classification. Information required to further assess this classification will be provided at the concept stage.

For the concept note proposal, risks and impacts related to compliance with the law, human rights and core labour rights will be screened and assessed because these are core principles. Besides that, risks related to participation in planning processes and access to project benefits for marginalized and vulnerable groups, indigenous people and women/gender will be initially screened and assessed because of the 'inclusive' approach, as well as a focus on involuntary resettlement, protection of

natural habitats, conservation of biodiversity, pollution and resource efficiency and land and soil conservation, from which risks could arise due to especially larger s. Climate change, public health and physical and cultural heritage will also be considered.

Overlap with other funding sources

The project will avoid overlap with the following projects/programmes: the World Bank's Africa Climate Business Plan, "Stepping up Support for Africa's ClimateResilient and Low-Carbon Development.2015-18."; the West Africa Coastal Management Programme (WACA) from the World Bank; the Economic Community of West African States (ECOWAS); and the Abidjan Convention for Cooperation in the Protection, Management and Development of the Marine and Coastal Environment of the Atlantic Coast of the West. The project will be actively seeking learning and synergy from these previous programmes and will complement them by addressing the challenge of coastal erosion in West Africa.

PART III: IMPLEMENTATION ARRANGEMENTS

UN Habitat will be the implementing partner for the project providing specific technical support in urban development and resilience related areas such as rules and regulations, land tenure, economic and financial urban development, social assessments and basic service provision. In addition, UN Habitat staff and projects are currently under development both in Cote d' Ivoire and Ghana. UN Habitat would leverage the existing networks and resources available in the countries, and would reinforce the existing team by hiring further staff that would be in charge of the coordination of the project in each of the countries.

One executing partner will be designated in each of the countries (Ministries) that will count with the support of the municipal governments for the activities that are district

and city based. There are existing working linkages between UN Habitat and the main Ministries, Agencies and local institutions of both Ghana and Cote d' Ivoire that would ensure the soft implementation of the project and the support of local experts and political leaders.

For the implementation of community projects, a local partner in each of countries will be designated to develop the community coordination and technical support work.

PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A.

Mr. Fredua Agyeman Director for Environment Ministry of Environment, Science, Technology and Innovation (MESTI). Ghana	Date: <i>31-August-2017</i>
Mr. Jean Douglas Anaman Head of Adaptation Unit at National Climate Change Programme, Ministry of Urban Sanitation, Environment and Sustainable Development. Cote d'Ivoire	Date: <i>02-August-2017</i>

B. Implementing Entity certification

<p>I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans of Ghana and Cote d' Ivoire and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.</p>	
<p style="text-align: center;">Rafael Tuts Director, Programme Division UN-Habitat</p>	
<p>Date: <i>02-August-2017</i></p>	<p>Tel. and email: +254 20 762326 Raf.Tuts@unhabitat.org</p>
<p>Project Contact Person: Javier Torner</p>	
<p>Tel. And Email: +254 20 761 24160 – Javier.torner@unhabitat.org</p>	

MINISTRY OF ENVIRONMENT, SCIENCE, TECHNOLOGY & INNOVATION

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Ghana

August 31, 2017

THE ADAPTATION FUND BOARD

% ADAPTATION FUND BOARD SECRETARIAT

EMAIL: Secretariat@Adaptation-Fund.org

FAX: 202 522 3240/5

ENDORSEMENT FOR IMPROVED RESILIENCE OF COASTAL COMMUNITIES IN COTE D'IVOIRE AND GHANA

In my capacity as the Designated Authority of the Adaptation Fund in Ghana, I confirm that the above regional project/programme proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in Ghana.

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by the United Nations Human Settlements Programme (UN-Habitat), and executed by the Ministry of Local Government and Rural Development (MLGRD), with the co-lead of the Ministry of Environment, Science, Technology and Innovation (MESTI)



FREDA AGYEMAN

DIRECTOR, ENVIRONMENT

**MINISTRY OF URBAN SANITATION,
ENVIRONMENT AND SUSTAINABLE
DEVELOPMENT**

**NATIONAL CLIMATE
CHANGE PROGRAMME**

REPUBLIQUE DE COTE D'IVOIRE

Union – Discipline – Travail



Abidjan, le

02 AOÛT 2017

N° 222 / MINSEDD/CAB1 / PNCC/jda

**Letter of Endorsement by Government
of Côte d'Ivoire**

To: **The Adaptation Fund Board**
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for Improved Resilience of Coastal Communities
in Cote d' Ivoire and Ghana Programme

In my capacity as designated authority for the Adaptation Fund in Côte d'Ivoire, I confirm that the above regional programme proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the country.

Accordingly, I am pleased to endorse the above programme proposal with support from the Adaptation Fund. If approved, the programme will be implemented by United Nations Human Settlements Programme (UN-Habitat) and executed Ministry of Urban Sanitation, Environment and Sustainable Development, Ministry of Construction, Housing, Sanitation and Urban Planning and Local planning departments of Abidjan, Grand-Bassam and Grand – Lahou.

Sincerely,

Jean Douglas ANAMAN
Head of Adaptation Unit at
National Climate Change Programme