



**SGP** The GEF  
Small Grants  
Programme

**30**  
YEARS



**CBA PHASE 3**  
**COMMUNITY-BASED ADAPTATION**  
**IN ASIA AND THE PACIFIC**

# Background

Climate change continues to be one of the greatest challenges facing our planet and humanity today. Local communities and Small Island Developing States (SIDS) are least responsible for climate change yet are the most vulnerable and suffer the most from its impacts.

Drought and rising temperatures, excessive precipitation and flooding, sea level rise and saltwater intrusion, coastal erosion, loss of agricultural crops, degradation of coral reefs due to bleaching, increased instances of pests and diseases, and unpredictable storms and weather events are just some of the challenges experienced by SIDS and Least Developed Countries (LDCs). These variations in climate not only affect the environment and resilience of natural ecosystems, but also have ripple effects on every sector of the economy and society including economic stability, agriculture and food security, water access and sanitation, health and well-being, education, tourism and livelihoods.

Building the resilience of local communities to climate shocks and disasters is not only an ethical imperative but can also have positive impacts on the environment, the economy, and well-being, as well as reduce inequalities and contribute to the Sustainable Development Goals (SDGs) of Agenda 2030. Not only are climate resilient communities better able to cope with climate change impacts, but this improved resiliency is also applicable to other shocks and stressors, such as pandemics, and economic and social crises. This enhanced resilience is vital for vulnerable and marginalized local actors and communities in particular women, youth, persons with disabilities and Indigenous Peoples.



SGP Marshall Islands

# What is Community-Based Adaptation?

CBA is a locally led process that empowers people and communities to plan for and cope with current and future climate change impacts. The CBA approach is inclusive and centred on the priorities and processes chosen by the community. It involves shifting the power to local stakeholders to lead or meaningfully participate in adaptation actions, and does not prioritize the interests of external parties over those of the community. While CBA projects are very similar to other community development projects, there are two main distinctions: i) projects address problems induced by climate change, often long-term in nature, as opposed to shorter-term climate or weather variability; and ii) projects demand a strong emphasis on the process and not just outcomes. They are not just projects implemented at the community level or projects that involve communities in a symbolic manner to achieve pre-determined objectives.

CBA is an important component of the larger picture of the management and avoidance of climate change impacts by local people. It provides information and concrete examples on potential impacts of climate change and mitigative measures which are context and location specific and managed by the community. CBA also generates information and learnings that can be adapted, shared and replicated in appropriate formats to other communities and climate change adaptation (CCA) projects.

CBA is an important component of the broader approach to locally led adaptation (LLA), which involves shifting power to local stakeholders to lead or meaningfully participate in adaptation actions. It empowers beneficiaries to take a more active role in building climate resilience without expecting them to shoulder the burden of adaptation alone and can thereby ensure context-specific programmes and more effective adaptation, with more equitable results and more agency for local communities.



SGP Jamaica

# MAP and SIDS CBA

Over 2009 to 2020, with financial support and partnership from the Australian Government's Department of Foreign Affairs and Trade (DFAT), the GEF Small Grants Programme (SGP), implemented the Mekong-Asia-Pacific (MAP CBA) and SIDS Community Based Adaptation Programmes (SIDS CBA).



237  
PROJECTS WITH 12 MILLION  
AUSTRALIAN DOLLARS



41  
COUNTRIES



37  
SIDS

## CBA Phase 3 Participating Countries (26)

### Asia Region (11)



### Pacific region (15)



The CBA programme will be implemented  
Over the period **March 31 2022- June 30 2026**  
(with possibility of extension to 2030)

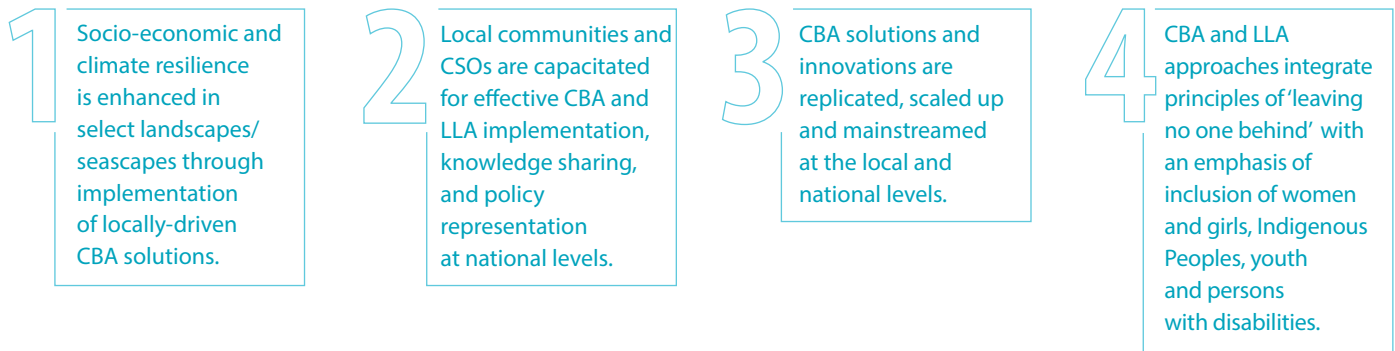


**Total Budget – 10M Australian dollars**

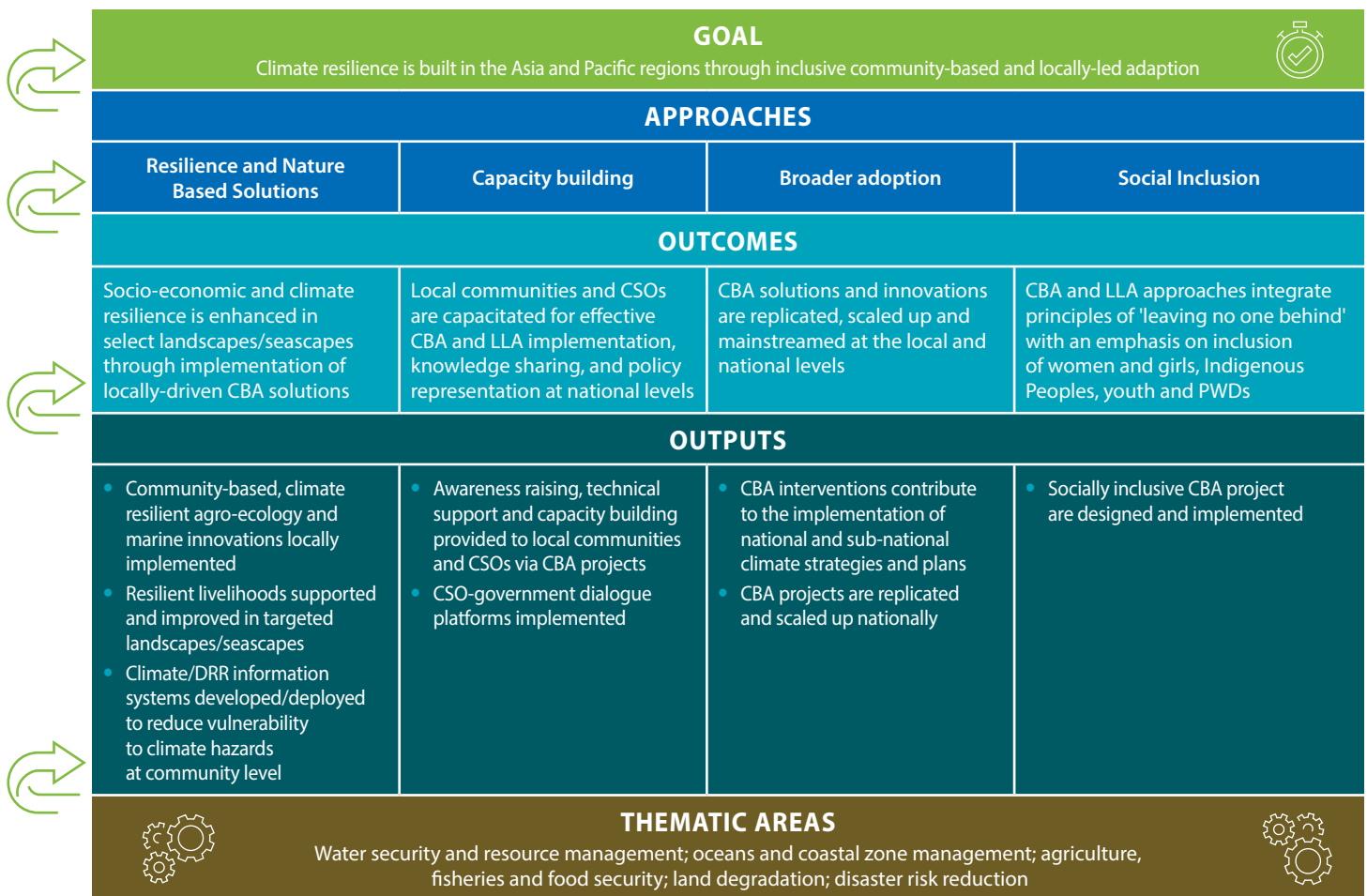
# CBA Phase 3 Goal

Climate resilience is built in the Asia and Pacific regions through inclusive community-based and locally-led adaptation.

## CBA PHASE 3 OUTCOMES



# CBA Theory of Change



# National Alignment

## **CBA is a partnership programme under Operational Phase 7 and will be aligned to the OP7 Country Programme Strategy (CPS).**

In addition, all countries participating in CBA Phase 3 must also complete an Annex to the existing OP7 CPS which outlines the priorities and strategies of the CBA programme in the country. This should be done together with the NSC.

It is advised that a climate change technical expert/specialist sits on the NSC to help review and provide guidance on CBA proposals. This member can also help to facilitate linkages with national climate initiatives and plans.

The CBA programme should also be aligned to national climate initiatives, plans and policies such as National Adaptation Plans, National Determined Contributions, SDGs and other national climate and development priorities and plans. CBA projects should contribute to and assist with the implementation of national climate priorities.

## CBA Phase 3 Thematic Areas

In Phase 3 the following thematic areas will be prioritized. Many of the CBA thematic areas are also aligned to the OP7 strategic initiatives. Country programmes can choose to focus on all, or only a few of the areas below:



**Water security and resource management:** access to clean water and sanitation is an economic enabler and is vital to building climate resilience. However, many communities across the Pacific and Asia regions still lack basic water access. Climate change, which directly impacts the water cycle, acts as a multiplier of the risks of water scarcity by increasing the variability and unpredictability of water resources. Thus, sustainably managing water resources is a critical aspect of the CBA programme.

Rainwater harvesting, nature-based solutions (NBS) such as watershed rehabilitation and enhancements to water storage capacities will be employed by the CBA programme to improve both domestic and agricultural water supply and access. Emphasis will also be placed on establishing strong coordination with WASH (water, sanitation and hygiene) programmes in local communities and creating synergies with existing DFAT water focused programmes.



**Oceans and coastal zone management:** For SIDS and many Asian countries, the coastal zone is an area of high economic activity and high population density, but these areas are also harshly exposed to sea level rise, storm surges, coastal erosion, and extreme weather events such as hurricanes and cyclones. NBS such as mangrove restoration and rehabilitation of coastal vegetation are commonly used to adapt to these challenges and will be employed in this new phase. Using a landscape approach, initiatives will also focus on managing saltwater intrusion, improving coastal freshwater supplies, sustainable fisheries and marine conservation, and participatory mapping exercises to identify coastal assets and resources.

As 'Large Ocean States', the oceans are an integral part of the ecosystems and economies of SIDS, and they depend on these resources to build forward better. The CBA Phase 3 will also focus on the blue economy and building resilience of coastal and marine ecosystems to the impacts of climate change. Community conserved areas, governed by local traditional institutions through civil society organizations, continue to be the most effective

units of management for coastal areas and are increasingly being recognized and mainstreamed by national governments. This CBA programme will enhance effectiveness and sustainability of these local governance processes and will work towards strengthening the structures and institutions associated with marine protected areas and community conserved areas. The efforts of this programme should be aligned to national and regional initiatives being implemented by governments and regional bodies.



**Agriculture, fisheries and food security:** Droughts, flooding, shifting seasons and increased variability in rainfall and temperature patterns continue to affect agricultural production across the globe. These impacts are even more severe for smallholder farmers. For rural farming communities this can lead to food insecurity, poverty, poor health, nutrition and wellbeing. To cope with these challenges CBA projects will invest in sustainable agro-ecological production techniques to boost productivity and income generation, improve ecosystem services, and reduce greenhouse gas emissions, where possible.



**Land degradation:** CBA projects will focus on nature-based solutions (NBS), agro-ecology and sustainable land management practices to improve ecosystem services and address some of the drivers of land degradation and other environment challenges at the community level.



**Disaster risk reduction (DRR):** DRR takes a systematic approach to adapting to climate change-induced hazards with a focus on preventing these hazards from evolving into full-fledged disasters. It includes a wide range of adaptation activities, such as risk and vulnerability assessments, utilizing early warning systems, improving multi-sectoral communication and collaboration, and education and awareness. DRR, disaster management and preparedness will be a cross-cutting theme in this new CBA phase.



Tanushree Rao



## In addition to the core thematic areas, the following cross-cutting themes should also be integrated across the national portfolio of CBA projects:

- 1. Enhancing socio-ecological resilience and productivity** of landscape and seascapes.
- Supporting **nature-based solutions** grounded in cultural and societal values around the protection, conservation and restoration of ecosystem goods and services.
- Prioritizing **social inclusion and traditional knowledge** – the CBA programme will ensure that interventions are socially sensitive and inclusive and that women, youth, Indigenous Peoples, persons with disabilities are actively brought into the CBA process as key agents of change.
- 4. Building organizational, technical and management capacities and raising awareness.**
- 5. Broader adoption of CBA approaches at local and national levels:** the programme will align projects to National Adaptation Plans and ongoing NDC implementation to ensure that they are relevant and complementary to national climate and development initiatives. By working with local authorities, national governments and other partners, the programme aims to strategically and systematically mainstream CBA lessons and best practices in local and national planning and development processes. This will facilitate mainstreaming, replication, policy influence, scale up and sustainability of successful locally led projects and approaches across landscapes. Projects previously funded under MAP and SIDS CBA or through regular SGP projects can be scaled up and replicated under CBA Phase 3.
- Ensure that projects **contribute to livelihood development, income generation and livelihood diversification**, these activities will help to build resilience and promote project sustainability.
- 7. CSO-government-private sector dialogues and platforms** will serve as a space to bridge the gap between local communities, local governments and the private sector and to provide opportunities for communities' voices to be heard, their needs to be understood, and their challenges to be recognized and addressed by various decision makers at local, regional and national levels. Dialogues will support establishment of **durable partnerships and networks** with key local, national and regional stakeholders to support broader adoption of CBA approaches. Each CBA project should establish linkages and build relationships with key stakeholders. Dialogues can also be used to **facilitate knowledge transfer**, sharing of best practices and key lessons among grantee networks via per-to per exchanges.



# Social Inclusion

Like all global crises, climate change highlights and intensifies existing inequalities in our societies. The complex interactions between exposure to climate impacts and certain biophysical, social, economic, and environmental factors contribute to social vulnerability. These factors apply to all social groups including women, men, the elderly, children and youth, Indigenous Peoples and ethnic minorities and persons with disabilities.

There are numerous factors that contribute to vulnerability including:

- limited roles in decision making
- limited access to resources including cash, credit, land, livestock, and tools
- lack of education and access to information
- discriminatory cultural or social norms
- limited mobility
- dependence on natural resources for livelihoods
- division of labour based on age, gender and other social definitions

Understanding the dynamics of these factors makes it possible to mainstream vulnerable groups within CBA projects ensuring that they can effectively participate in adaptation or development initiatives; develop the skills to gain access to, and control over, resources; and take responsibility in their decisions and actions to enable them to cope with climate change impacts. The people most affected by climate change must be part of the climate solution. Social inclusion has been a cross-cutting theme previous CBA programmes and women, youth, PWDs, and Indigenous Peoples have been actively engaged across a range of CBA initiatives.



SGP Sri Lanka



SGP Kiribati

## SPOTLIGHT ON GENDER

Gender is a key social inclusion priority area for DFAT, as women and girls are among the most vulnerable affected by climate change. It is mandatory for all CBA projects to include gender considerations during project design and implementation, and all projects must include gender indicators. The following are some highly recommended strategies that should be employed to ensure gender equality across CBA programming:

- **Mandatory!!** Using the NSC gender checklist to approve CBA projects, and ensuring that a gender focal point sits on the NSC;
- **Mandatory!!** Collecting sex disaggregated data on project participants and beneficiaries;
- **Mandatory!!** Ensuring female participation in meetings, dialogues and decision making and encouraging women-led projects. Ensure that there are no negative risks associated with women participating in these types of activities. Take local culture, traditions and religious practices in mind when planning activities.
- Including gender specific activities and approaches in project design and implementation. These should be clearly outlined in the approved proposals.
- Conducting gender analysis/assessment at the country or project level.
- Conducting gender awareness training for grantees and project partners.
- Improving access to financial resources for women, for example establishing women's saving and loans groups.
- Increasing or improving livelihood opportunities/diversification for women and girls.
- Capacity building training focused on the specific needs and climate vulnerabilities of women and girls.
- Support the networking and creation of women organizations at the national level through CBA project or Country Programme initiatives.
- Encouraging CSOs to develop gender strategies and plans.

# Vulnerability Assessments

Vulnerability Reduction Assessment (VRA) is a participatory methodology that assesses a community's vulnerabilities and perceptions, as well as their ability to adapt to climate change impacts. It is initiated at the beginning of a CBA project and done in close collaboration with the community, local actors, national partners and technical experts. It is also used as a monitoring and evaluation tool to measure the impact and effectiveness of a CBA project under implementation. The methodology is based on indicator questions, tailored to capture locally relevant issues that are at the heart of understanding vulnerability to climate change. These questions are used to identify:

- the specific climate impacts that the community is susceptible to such as flooding, drought, sea level rise, or cyclones, etc;
- their level of awareness and capacity to respond and adapt to current and future climate trends;
- specific vulnerabilities of various social groups such as women, children and youth, persons with disabilities, or Indigenous Peoples; and
- whether the proposed CBA techniques are working to reduce actual and/or perceived vulnerabilities.

Questions are posed during three to four community meetings over the duration of a CBA project. Responses take the form of a numerical score provided by the respondents during these community meetings. Repeated evaluations of community perceptions of project effectiveness and climate change risks provides an indication of the relative change in vulnerability. This is assessed through the degree of change in the VRA scores relative to baseline values established prior to the start of project activities. It is a flexible methodology designed to fit

a range of community-based project interventions at both the community and national levels, and facilitates open and inclusive dialogue with a range of stakeholders and partners. The VRA uses a perception-based approach and is most effective when complemented by other quantitative indicators and technical assessments.

## VRA TIPS:

- Initial VRA information should gathered during the project design stage or at the concept note stage. For example, at meetings with the potential grantee, at site visits, workshops, participatory community consultations.
- Planning grants can also be used to gather this type of information and use this to design projects that are responsive to the community needs based on the vulnerabilities identified.
- M&E visits and communication with the grantee should be well maintained to ensure that projects are on track and responding to the climate needs of the community.
- Community VRA meetings should be used to assess progress on vulnerability reduction and should be held at the middle of the project as well as at the end of the project. Progress and results should be well documented by the grantee and noted by the NC in progress reports.
- Key stakeholders such local and national climate partners, technical experts, UNDP colleagues etc. should be invited to participate in these VRA sessions. These are also opportunities to share knowledge, network and raise awareness of the programme.
- VRA can be simple workshops/meetings and do not have to be too costly. Ideally, should be held at the beginning, middle and end of the project.



# Monitoring and Evaluation

Monitoring and evaluation is an important component of CBA programme implementation and is a key area of focus for DFAT. It is important to support grantees in data collection and reporting, and to verify progress on projects by conducting site visits. It is advisable to provide grantees with guidance and training on collecting basic data and filling out SGP financial and technical reports prior to the start of the projects.

It should be noted that the M&E approach for CBA is also aligned to the OP7 global M&E strategy.

## LIST OF CBA INDICATORS (ALIGNED TO REGULAR SGP INDICATORS):

Number of targeted landscapes/seascapes positively influenced with improved land and water management practices

Number of projects completed

Number of hectares brought under improved agricultural, land and water management practices

Number of community members demonstrating improved agricultural, land and water management practices

Number of projects that improve the livelihoods of community members

Number/type of strategies used to improve livelihoods/quality of life for example: access to markets, access to finance, diversification of income, improved infrastructure, access to health services, access to education, increased food security, access to technology

Number of persons with improved access to clean water and sanitation services

Number of early warning/ climate information systems developed/deployed

Number of persons with improved capacities (# men, #women)

Number of trainings conducted (to improve knowledge, skills, and project implementation)

Number of strategies used to facilitate knowledge sharing for example: peer-to-peer knowledge exchanges, grantees connected to government services, grantees connected to other CSOs, grantees connected to academic/research orgs., connected to development practitioners

Number of dialogues initiated

Number of projects replicated and scaled up nationally (additional hectares conserved, additional beneficiaries, additional socio-economic, environmental benefits)

Number of national or sub- national initiatives or plans that CBA projects contribute/align to

## Social Inclusion Indicators

### Gender

Total number of female beneficiaries

Number of gender analysis/assessment conducted at the country or project level

Number of gender specific activities, outputs, outcomes, and disaggregated indicators included in project design

Number of gender mainstreaming training for grantees conducted

Number of partnerships with gender/women's organization in the country

Number of country programmes using the NSC gender check list for the approval of projects

Number of projects that support the networking and creation of women organizations at the national level

Number of projects that connect women's projects at the national level with regional and/or global networks

Number of countries with a gender mainstreaming strategy included in the country programme strategy

Number of projects completed that were led by women (e.g., had a female project coordinator/manager, led by a woman cooperative or women group)

### Youth

Number of youth organizations that participated in CBA projects

### Persons with Disabilities

Number of disabled persons organizations participating in CBA projects

### Indigenous Peoples

Number of projects that include Indigenous Peoples in implementation and design



Mohamed Sameeh

# Knowledge Management and Communication

On print or electronic material and content, the DFAT, GEF, SGP UNDP logos should be used in the following order:



Grantee logos and other partner logos can also be used together with the above logos.

Each CBA project should generate at least one KM PRODUCT such as a fact sheet, video, brochure, publication etc. Ensure that there is budget in each the grant for this, between 5-10% can be allocated to KM and communication related to the project.

## Calls for Proposals

Specific CBA calls can be issued or can be done jointly with regular SGP calls. In the call, CBA thematic areas and country priorities should be specified. It is recommended that capacity building/training workshop be conducted prior to issuing the call to provide guidance and sensitize community groups and CSOs on the specific aspects of CBA projects- this will ensure that concepts and proposals are aligned to CBA guidelines.

Templates and forms- use the regular SGP MOA templates (including all reporting annexes), concept note and proposal templates and forms.

Update the database regularly- especially on the status of the project, progress reports etc.

CBA implementation follows SGP's Standard Operating Guidelines

## Project Numbering

CBA project numbering is outlined in your CBA allocation letter on page 2. The project number should be written as such:

**Country code/CBA 3/Year/XX (Incremental Sequence Number)**





# SGP The GEF Small Grants Programme | 30 YEARS

The Small Grants Programme (SGP) is a corporate programme of the Global Environment Facility (GEF) implemented by the United Nations Development Programme (UNDP). Established in 1992, SGP is currently active in 127 countries and promotes community-based innovation, capacity development, and empowerment through sustainable development projects of local civil society organizations with special consideration for Indigenous Peoples, women, and youth. SGP has supported over 27,000 community-based projects on biodiversity conservation and sustainable use, climate change mitigation and adaptation, sustainable land management, conservation of international waters, and chemicals and waste management, while generating sustainable livelihoods.



The GEF is a family of funds dedicated to confronting biodiversity loss, climate change, pollution, and strains on land and ocean health. Its grants, blended financing, and policy support helps developing countries address their biggest environmental priorities and adhere to international environmental conventions. Over the past three decades, the GEF has provided more than \$22 billion and mobilized \$120 billion in co-financing for more than 5,000 national and regional projects.



UNDP partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. On the ground in 177 countries and territories, we offer global perspective and local insight to help empower lives and build resilient nations. [www.undp.org](http://www.undp.org)

# SGP The GEF Small Grants Programme | 30 YEARS

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