

# GCCA+ ORIENTATION PACKAGE

January 2020

The EU Global Climate Change Alliance Plus (GCCA+)  
Flagship Initiative



**GCCA+**  
THE GLOBAL CLIMATE CHANGE ALLIANCE PLUS INITIATIVE



Funded by  
the European Union

# **GCCA+**

## **ORIENTATION PACKAGE**

### **JANUARY 2020**

## **TABLE OF CONTENT**

Acknowledgements.....	3
1. Introduction .....	4
1.1. Background.....	4
1.2. Purpose of the GCCA+ Orientation Package.....	7
2. Key guiding principles and concepts.....	9
2.1. Who can benefit from GCCA+?.....	9
2.2. On what does the GCCA+ focus? .....	9
2.3. What types of intervention are sustained by the GCCA+? .....	10
2.4. How does the GCCA+ programming and funding process work? .....	12
2.5. What is the GCCA+ methodology for selection of countries and allocation of funds? .....	13
2.5.1. Timeline.....	13
2.5.2. The cycle of operations .....	14
2.5.3. Criteria of selection .....	14
2.5.4. Allocation of funds .....	15
2.5.5. Average project size .....	15
2.6. How to prepare a GCCA+ project proposal? .....	16
2.6.1. How to express interest .....	16
2.6.2. Specific advices for the Action Documents.....	17
2.7. How to access GCCA+ Technical Assistance (Support Facility services)? .....	18
2.7.1. Support in the preparation of GCCA+ interventions.....	18
2.7.2. Trainings .....	19
2.7.3. Other Support Facility services .....	19
3. Monitoring and evaluation of GCCA+ actions.....	19
4. Communication and knowledge management of GCCA+ actions .....	22
5. Additional information and contacts .....	23

6. Resources – See Annexes.....	25
Annex 1 – The plus of the GCCA (GCCA+ Concept Note).....	25
Annex 2 - Non-Exhaustive List of Acronyms .....	25
Annex 3 - GCCA+ eligibility checklist (combined to proposal preparation).....	25
Annex 4 - How to access GCCA+ Technical Assistance (Support Facility): Guidelines and sample ToRs.....	25
Annex 5 - GCCA+ Results Framework .....	25
Annex 6 – GCCA+ Communication and knowledge management guidelines .....	25



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# 1.Introduction

## 1.1. Background

The EU launched the "Global Climate Change Alliance" (GCCA) flagship initiative in 2007 (COM(2007) 540). Having started with just four pilot projects in 2008, GCCA+ has become the largest climate initiative for vulnerable countries funding close to 70 projects of national, regional and worldwide scope, in more than 60 countries (of which 37 Least Developed Countries and 36 Small Island Developing States) in Africa, Asia, Caribbean and Pacific regions (as of end of 2017)

In the 2007-2013 Multi-annual Financial Framework (MFF), the GCCA received funding of EUR 285 million from the Thematic Programme Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) funded by the EU budget, as well as from 5 Member States (MS) and the intra Africa Caribbean and Pacific (ACP) programme for the intra-ACP GCCA.

A global evaluation of the first phase of the GCCA was finalised in 2015, and is available here: <http://capacity4dev.ec.europa.eu/gcca-community/document/gcca-global-evaluation-report>.

The new EU Global Climate Change Alliance Plus (GCCA+) flagship initiative was established in 2014, as the successor to the GCCA, under the thematic Global Public Goods and Challenges (GPGC) programme of the Development Cooperation Instrument (DCI). In order to align this new phase to the latest identified challenges at the global level<sup>1</sup>, the GCCA+ mandate and scope were again revised in January 2018.

Today, this current phase, determined by a 'PLUS' (+), is in line with the European Union's recently adopted Multiannual Indicative Programme for the Thematic Programme on Global Public Goods and Challenges for the period 2018-2020 (GPGC MIP 2018-2020)<sup>2</sup>, and integrates recommendations stemming from the global evaluation since 2015. It continues to support those countries<sup>3</sup> which are most vulnerable to climate change, building on the work undertaken in its first phase (2008-2013) by feeding back lessons learned and through a more targeted approach in line with countries' needs.

In line with the EU commitments on poverty reduction, sustainable development and climate change, the GCCA+ offers country-specific support through its flexible approach, implementation and funding modalities, as well as operational capacity enabled by the extensive presence offered by [EU Delegations around the world](#).

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1 Reflected in the 2030 Agenda for Sustainable Development adopted in 2015, the new EU consensus on Development adopted in 2017, the entry into force of the UN Framework Convention on Climate Change (UNFCCC) Paris Agreement in November 2016 and the endorsement in 2015 of the Sendai Framework for Disaster Risk Reduction 2015-2030

2 Programme on Global Public Goods and Challenges 2014-2020 multi-annual indicative programme 2018-2020 adopted on 30 July 2018 - [https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2018-2020-annex\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2018-2020-annex_en.pdf)

3 Mainly the groups of Least Developed Countries (LDCs) and Small Islands Developing States (SIDS) but also some middle-income countries vulnerable to climate change since 2017.

In conformity with EU commitments<sup>4</sup> on external cooperation, the GCCA+ initiative aims to make a greater contribution towards achieving the overall target of at least 20 % of the EU budget contributing to low carbon and resilient societies. As of 2018, the European Commission is planning to allocate € 465M to the GCCA+ initiative under the 2014-2020 MFF from the Global Public goods and challenges (GPGC) thematic programme funded by the EU budget and from EDF for the intra-ACP GCCA+<sup>5</sup>. Contributions from Member States (MS) to the GCCA+ instrument would be welcomed, as would in-country joint cooperation with new and future GCCA+ projects.

This 'Plus' phase of the GCCA programme is characterised by new features and strategic orientations based on the above-mentioned global development frameworks. Its priorities, governance structure and operational support to address current and expected climate change needs have been adjusted to contribute towards the achievement of the UN's Sustainable Development Goals of the 2030 Agenda (in particular goal 13 related to climate change) and the process ahead related to the implementation of Nationally Determined Contributions (NDCs) in line with the Climate Paris Agreement.

Compared to the GCCA's (2008-2013 phase) five<sup>6</sup> priority areas, this current GCCA+ flagship initiative (running until 2020) is concentrating on **three major priority areas**<sup>7</sup>, namely:

1. Mainstreaming climate change into poverty reduction and development efforts;
2. Increasing resilience to climate related stresses and shocks (promoting adaptation to climate change, disaster risk reduction (DRR) and reduced pressure on forests); and
3. Supporting the formulation and implementation of concrete and integrated sector-based climate change adaptation and mitigation strategies (holistic approach).

The programming and implementation of the GCCA+ follows the Annual Action Programme (AAP) process ([http://ec.europa.eu/europeaid/work/ap/index\\_en.htm](http://ec.europa.eu/europeaid/work/ap/index_en.htm)) under which Action Documents (AD) are identified and formulated every year. ADs can envisage different modalities e.g., budget support, stand-alone project, joint programme, which in turn can include call for tenders and call for proposals for their implementation.

The GCCA+ operates on a **two pillar-approach**:

1. **Under the first pillar**, the GCCA+ is further fostering **policy dialogue** and the exchange of experiences on climate change at the global, regional and national levels – between the European Union and developing countries. The purpose of the policy dialogue is to promote a shared vision on climate change issues and to exchange experiences regarding the integration of climate change into policies and budgetary frameworks. The GCCA+ also supports developing countries to have their voice heard in international negotiations. Results from this policy dialogue feed into discussions for

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<sup>4</sup> Commission Communication COM/2011/500 final 'A budget for Europe 2020' and Council Conclusions 37/13 of 8 February 2013; press release: <https://goo.gl/6uzg2J>.

<sup>5</sup> A follow-up programme to the 10th EDF intra-ACP GCCA with funding of EUR 70 million from the 11th EDF intra-ACP allocation, also completes this global EU flagship initiative

<sup>6</sup> Climate change adaptation measures; Mainstreaming climate change into national policies; Disaster risk reduction; Reducing emissions from deforestation; Participation in the global carbon market.

<sup>7</sup> These priority areas are developed in section 2.2.

the implementation of the Paris Climate Agreement under the UNFCCC and other international processes.

2. **Under the second pillar**, the GCCA+ is continuing to provide **technical and financial support** to climate vulnerable developing countries and regions through country and regional projects and programmes with a strong focus on LDCs and SIDS. The GCCA+ supports the implementation of national climate change adaptation plans (NAPs) and mitigation policies, but with a stronger emphasis than in the previous phase on the binding role of knowledge management and communication.

The GCCA+ initiative is continuing to help vulnerable countries, mainly Least Developed Countries (LDCs) and Small Island Developing States (SIDS), to increase their resilience to climate change, to reduce disaster risks (DRR) and to enhance mitigation co-benefits (e.g. Reduced Emissions from Deforestation and Degradation Plus, REDD+). It is also aiming to support mitigation efforts related to countries' efforts to implement NDCs and will ensure that the mitigation needs of the UNFCCC parties, which are most vulnerable to climate change, can be addressed through a dedicated mitigation component of the GCCA+ support facility.

Based on regional and national/country-level needs, the GCCA+ concentrates on 1) integrating climate change and its various components, such as disaster risk management or green economy, into development planning processes at different levels, including budgeting and monitoring systems and 2) supporting climate action in different areas, such as sustainable land use, ecosystem management<sup>8</sup>, adaptation and mitigation synergies, sustainable urban development, empowering women and addressing gender issues in the context of climate change and climate-induced migration.

A GCCA+ Support Facility is also providing technical support to build and/or enhance national capacity to implement and to monitor, to report on and to verify mitigation and adaptation actions.

The GCCA+ adopts a dual approach of strategic planning and institutional strengthening, and implementation of policy measures. It applies the aid and development effectiveness principles and, where possible, delivers programmes through budget support. The GCCA+ makes use of other modalities and approaches, such as sector programmes, joint programming, joint implementation and co-financing / pooled funds, as appropriate. More innovative modalities like blending grants with loans (blending) might be used where feasible, and cooperation with the private sector will be pursued and strengthened.

The GCCA+ gives due consideration to regional and national priorities and to selected geographical aid cooperation focal areas. It works with a wide array of stakeholders from governments, non-state actors, civil society organisations, regional organisations, scientific community and development partners, and relies on various EU instruments and contributions from EU Member States.

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<sup>8</sup> A specific GCCA+/environment/sustainable agriculture nexus initiative on integrated sustainable landscape management is being launched for AAP2019 exercise

The GCCA+ also includes a programme specifically focused on African, Caribbean and Pacific (ACP) countries, called the GCCA Intra ACP Programme funded under the European Development Fund (EDF). The first phase of this programme, led by the ACP Secretariat together with the European Commission, worked with regional organisations to increase their capacity to better tackle climate change. The second phase, funded under the 11<sup>th</sup> EDF, has been adopted at the end of 2016 and has an innovative change in comparison to the previous phase, as it is working with EU Member States development agencies in addition to ACP regional organisations. A Technical Assistance Facility continues to support the ACP Secretariat in the coordination and communication aspects of the programme.

## 1.2. Purpose of the GCCA+ Orientation Package

This package has been developed following enquiries from various parties, such as staff in the EU delegations (EUDs), external partners, GCCA project staff and representatives from CSOs, about how to access GCCA+ flagship initiative funding i.e. key principles and requirements to consider when expressing interest and preparing a GCCA+ project proposal. The target recipients of this package are mainly EUDs staff who will facilitate the application by interested parties, governmental and inter-governmental institutions, the private sector, civil society organisations, journalists, partners and individuals. This orientation package can be completed by a GCCA+ factsheet (the most updated version is accessible in the GCCA+ website: [www.gcca.eu](http://www.gcca.eu)).

The objectives of this GCCA+ orientation package are:

1. Recall key EU policy and DEVCO programmatic drivers to which GCCA+ projects shall contribute to;
2. Explain the GCCA+ methodology for selection of countries, allocation of funds and key steps of the programming cycle followed by the GCCA+;
3. Facilitate the preparation, implementation and monitoring of GCCA+ projects by EUD staff i.e. identification and formulation of actions under the GCCA+ Annual Action Programme (AAP) process<sup>9</sup>;
4. Set key standards for all GCCA+ actions in terms of communications and knowledge management requirements, and selection of project indicators for monitoring and evaluation purposes (in line with the GCCA+ Result Framework).

Thus, along these pages you will find a set of different guidance notes, documents and resources (annexes) – which will soon be accessible also from the GCCA website ([www.gcca.eu](http://www.gcca.eu)) and collaborative platform (under construction), depending on the subject of interest, at any given time.

A “GCCA+ checklist’ for concept note and project preparation also accompanies these guidelines, listing key features to consider for a GCCA+ proposal. It aims at helping the

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<sup>9</sup> The programming of the GCCA+ via Annual Action Programmes (AAPs) is overseen by DG DEVCO Unit C6 ‘Sustainable Energy and Climate Change’ in consultation with other relevant services. See also footnote no 6 on nexus initiative on sustainable landscape management.





applicant to ensure the eligibility criteria are met i.e., the proposal fits the GCCA+ initiative's key requirements.

## 2. Key guiding principles and concepts

### 2.1. Who can benefit from GCCA+?

The GCCA+ flagship initiative targets mostly, but not exclusively, the group of Least Developed Countries (LDC) and Small Island Developing States (SIDS) recipients of aid (in line with the official OECD/DAC<sup>10</sup> and UN lists<sup>11</sup>).

The GCCA+ primarily works through financing agreements with partner countries, including via budget support, grant, delegation agreement with EU MS agencies and other agreements with international organisations. Regional organisations and Civil Society Organisations (CSO) may also be directly supported by the GCCA+. Capacity of implementing partners, including absorption capacity and commitment to enhance domestic resource mobilisation in the case of partner countries, should be systematically taken into consideration.

As part of the African, Caribbean and Pacific Group of States (ACP) - EU policy dialogue and cooperation on climate change, there is a specific "Intra-ACP" GCCA+ component. This aims at building regional-level capacity and consensus while also assisting ACP Member States in developing their critical capacity with the overall objective of supporting the sustainable development of the ACP regions and countries.

### 2.2. On what does the GCCA+ focus?

In line with EU commitments on climate action and the global goal of the Paris Agreement on climate change<sup>12</sup>, all GCCA+ projects must primarily pursue the objective of facilitating the transition to a climate resilient low-carbon future and to foster a common understanding of the risks, costs challenges posed by climate change, the benefits of low-carbon climate-resilient development, and the links to the sustainable development agenda<sup>13</sup>.

A GCCA+ action shall pursue an objective of Climate Change Adaptation (CCA) and/or Climate Change Mitigation (CCM) and/or Disaster Risk Reduction (DRR) to contribute to strengthened climate resilience. Targeting all these objectives at the same time is encouraged, but not compulsory to benefit from the GCCA+ support. For instance, a sustainable reforestation/forest management project may simultaneously improve carbon sequestration and support community livelihoods and resilience to the adverse effects of climate change. All

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<sup>10</sup> <http://www.oecd.org/dac/stats/daclist.htm>

<sup>11</sup> <https://sustainabledevelopment.un.org/topics/sids/list>

<sup>12</sup> The Paris Agreement sets out an ambitious global framework to put the world on track to avoid dangerous climate change by limiting global warming to well below 2 °C and pursuing efforts to limit the temperature increase to 1.5 °C.

<sup>13</sup> GPGC, 'strategic area' Environment and climate change', Component 1 ' climate change adaptation and mitigation, and support for the transition to climate resilient low-carbon societies.



GCCA+ interventions should use at least one climate related Rio Marker as a “main objective”, following the OECD-DAC Rio Marking<sup>14</sup> methodology.

A Climate Change Adaptation intervention intends to reduce the vulnerability of human or natural systems to the current and expected impacts of climate change, including climate variability, by maintaining or increasing resilience, through increased ability to adapt to, or absorb, climate change stresses, shocks and variability and/or by helping reduce exposure to them<sup>12</sup>. The Sendai Framework for Risk Reduction (2015-2030) underlines the need to address climate change as a driver of disaster risk, calling for better linking adaptation and risk reduction action.

A **Climate Change Mitigation intervention** typically contributes to the objective of stabilisation of greenhouse gas (GHG) concentrations in the atmosphere by promoting efforts to reduce or limit GHG emissions or to enhance GHG sequestration<sup>12</sup>.

The three main priority areas of the GCCA+ initiative are:

1. Mainstreaming climate change into poverty reduction and development efforts. This refers to the integration of climate adaptation and mitigation objectives, strategies, policies, measures or operations such that they become part of the national and regional development policies, processes and budgets at all levels and stages<sup>15</sup>.
2. Increasing resilience to climate related stresses and shocks (promoting adaptation to climate change, disaster risk reduction (DRR) and reduced pressure on forests). Through this, the GCCA+ aims to improve the capacity and ability of communities, countries and/or regions to withstand, adapt and recover from climate stresses<sup>16</sup>;
3. Supporting formulation and implementation of concrete and integrated sector-based climate change adaptation and mitigation strategies. This implies a deep understanding of implications of climate change at the level of a chosen sector including through poverty and socio-economic impact analysis. This links to National Adaptation Plans and/or Nationally Determined Contributions under the United Nations Framework Convention on Climate Change (UNFCCC).

### 2.3. What types of intervention are sustained by the GCCA+?

The GCCA+ initiative paramount intention<sup>17</sup> is to support the most vulnerable countries in coping with the effects of climate change and to enhance policy dialogue on climate change, including the international negotiations. Actions funded under this initiative aim at making a difference on climate vulnerable groups, following inclusive sustainable development

<sup>14</sup> Please refer to Rio Marking and requirements to mainstreaming Climate Change [here: https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook\\_FINAL.pdf](https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf)

<sup>15</sup> UNEP, 2009

<sup>16</sup> [Building resilience: the EU's approach – EU Factsheet – resilience - 2016](#)

<sup>17</sup> GPGC, strategic area 'Environment and climate change', Component 1 'climate change adaptation and mitigation, and support for the transition to climate resilient low-carbon societies.

principles, while supporting partner countries for the preparation and implementation of national strategies and plans that ensure the proper implementation of their UNFCCC and other climate related commitments.

The GCCA+ is therefore keen in assisting partners in:

- Identifying adaptation and/or mitigation approaches with a direct contribution to priorities set in their reference climate strategies, such as Nationally Determined Contributions (NDCs), National Adaptation Plans (NAPs), and promoting their linkages with national strategies and plans dedicated to sustainable development and climate change <sup>18</sup>;
- Structuring and establishing comprehensive governance systems, policy frameworks, accountability frameworks including monitoring, reporting and verification (MRV), financing systems, and boosting capacity and knowledge management of climate-related issues and risks;
- Implementing national and local climate change adaptation and mitigation solutions that have a tangible impact on people's lives and increase resilience;
- Carrying out specific studies, such as vulnerability assessments, reviews of cost-benefits, climate gender studies, climate expenditure analyses, integrated ecosystem assessment, etc. leading to the design and implementation of sustainable policies protecting climate sensitive ecosystem services and public goods, thereby ensuring long-term access to water and energy sources and infrastructure, protection of coastal zones, sustainable agriculture and food security systems and sustainable use of land resources, etc.

Typical activities include:

- Strengthening the resilience and adaptive capacity of human and natural systems to climate-related natural hazards and disasters (e.g., climate smart agriculture, integrated coastal zone management, mangrove restoration, the protection and restoration of degraded watersheds, improving the sustainability of ecosystem services);
- Improving community and institutional capacity on climate change resilience, mitigation, adaptation, risk reduction and early warning (e.g., integrating participatory DRR and climate change adaptation);
- Promoting mechanisms for raising capacities for effective climate change-related planning and management, including focusing on women, youth and local and marginalised communities (e.g., mainstream climate change issues into national and local governments' planning and budgeting systems, increase the amount of finance available to local governments for implementing climate strategies);
- Raising awareness on climate change and the GCCA+ initiative through improved communication, data collection and production of knowledge (e.g., supporting project communication, develop and improve communication and knowledge management tools,

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<sup>18</sup> these should be strictly in line with the national objectives defined for the Sustainable Development Goals, and may include strategies such as National Adaptation Programmes of Action (NAPAs)



developing national climate change communication and awareness campaigns, identification of needs for capacity building and training).

Therefore, both “structural” measures (i.e., related to physical assets) and “non-structural” ones can be considered, such as monitoring or emergency response programmes, capacity building, staff training and knowledge and skills transfer activities, the development of strategic or corporate climate risk assessment and management frameworks (based on a thorough assessment of institutional capacities and development needs), and financial solutions<sup>19</sup>. Combining the two types of measures is recommended in order to increase resilience.

This can be achieved in any thematic sector highly relevant to climate change adaptation (e.g., agriculture and food security, water, coastal zone management, disaster risk reduction, environment and biodiversity, energy-efficient infrastructure) and/or mitigation (e.g., forestry, agriculture and land use, energy, waste, transport). While all significant climate issues are eligible to the GCCA+, a special attention should be paid to access and management of water, sustainable use of natural resources and land use, risk management planning, ecosystem-based management, adaptation and mitigation synergies, infrastructure design and sustainable urban development, gender issues and climate-induced migration<sup>20</sup>.

In case of need for guidance, or doubt about the "climate-relevance" of any proposed activity, programming officers are invited to consult with DEVCO C6 and/or the GCCA+ Support Facility. See section 5 for additional information and contacts.

## 2.4. How does the GCCA+ programming and funding process work?

The GCCA+ initiative operates in line with EU thematic programming<sup>21</sup> and specifically the Thematic Programme on Global Public Goods and Challenges (GPGC)<sup>22</sup> 2014-2020, and Multi Annual Indicative Programme (MIP) 2018-2020. It is a multi-dimensional flagship programme that addresses key global public goods. As such it provides assistance that supports processes that are already under way or under preparation from relevant strands of the GPGC programme and is also expected to receive support from geographical programmes. It falls under the GPGC component 1 '*Climate change adaptation and mitigation and support to the transition to climate resilient low-carbon societies*'.

In line with the GPGC approach<sup>23</sup>, the GCCA+ seeks to avoid fragmentation, ensuring high impact and highlighting and expressing EU key interests and policies. It also seeks alignment with priorities set in the National and/or Regional Indicative Programmes (NIP and RIP respectively) in partner countries and regions, as well as synergies with other global climate initiatives (e.g. during the COP22, the European Union (EU) joined two major initiatives: The

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<sup>19</sup> <https://goo.gl/IVHQq7>

<sup>20</sup> GPGC 2014-2020, C(2014)5072

<sup>21</sup> EC, DG DEVCO [http://ec.europa.eu/europeaid/programming-aid-development-assistance-projects\\_en](http://ec.europa.eu/europeaid/programming-aid-development-assistance-projects_en)

<sup>22</sup> EC, DG DEVCO [https://ec.europa.eu/europeaid/commission-implementing-decision-adopting-multiannual-indicative-programme-thematic-programme-global\\_en](https://ec.europa.eu/europeaid/commission-implementing-decision-adopting-multiannual-indicative-programme-thematic-programme-global_en)

<sup>23</sup> [https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2018-2020-annex\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2018-2020-annex_en.pdf)

National Adaptation Plan (NAP) Global Network and the Nationally Determined Contribution (NDC) Partnership).

GCCA+ annual programming shall respond to the priority Planet and People and 'Resilience and healthy Ecosystems' cluster and, in particular, to the specific objective of boosting adaptation and climate resilience. Under this cluster, coherence, synergies and complementarity of climate actions shall be ensured<sup>24</sup>.

## 2.5. What is the GCCA+ methodology for selection of countries and allocation of funds?

In accordance with the above, the GCCA+ initiative programming is done on a yearly basis and entails the development of an Annual Action Programme (AAP)<sup>25</sup>. Every year, a selected number of countries is included in the AAP and supported<sup>26</sup> throughout the process of identification and/or formulation of GCCA+ Action Documents (ADs). Once the AAP and the related Financing Decision are adopted, the EUDs of the beneficiary countries can sign the relevant agreements to start implementation of the projects.

**Annual Action Programmes (AAP)** are financing decisions adopted by the European Commission, to reserve funds for regional and country-based external cooperation programmes and for the implementation of thematic programmes. AAPs specify the objectives pursued, the fields of intervention, the expected results, the management procedures and the total amount of financing planned. In addition, AAPs contain a description of the operations to be financed, an indication of the amounts allocated for each operation and an indicative implementation timetable.

Source: EC, DG DEVCO [http://ec.europa.eu/europeaid/work/ap/index\\_en.htm\\_en](http://ec.europa.eu/europeaid/work/ap/index_en.htm_en)

### 2.5.1. Timeline

The preparation of the Annual Action Programme (AAP) for the GCCA+ is launched by DEVCO at the end of each year (Year n-1). It comprises a preliminary list of actions to be formulated the following year (Year n). The final AAP and financing decision<sup>27</sup>, once adopted by the DCI Committee, enable projects to start (usually, Year n+1).



<sup>24</sup> See also footnote no 6 on nexus initiative on sustainable landscape management.

<sup>25</sup> EC, DG DEVCO [http://ec.europa.eu/europeaid/work/ap/index\\_en.htm\\_en](http://ec.europa.eu/europeaid/work/ap/index_en.htm_en)

<sup>26</sup> Quality Support is provided by thematic units in DEVCO and, if required and appropriate by the GCCA+ support facility

<sup>27</sup> Commission Implementing Decision

The steps can be roughly summarised as follows:

1. Expression of interest via submission of concept notes before August every year (Year n-1);
2. A tentative list GCCA+ AAP (Year n) is then compiled and scrutinised by the Unit in charge of the management of the EU GCCA+ flagship programme i.e. Unit C6 'Sustainable Energy and Climate Change'. It comprises all spontaneous applications/expressions of interest submitted by interest partners via the European Union Delegation (EUD) of the country in which operations would be based. It might also include /replace certain countries deferred from previous AAP;
3. Generally, by September/October of 'Year n-1', an informal consultation process is launched on the AAP (Year n) between Unit C6, EUDs and geographic units (i.e., climate focal persons and geo-coordinators respectively). This will influence the final list i.e., number of included countries and potential max allocation by country, countries not retained for AAP year-n which may be considered for the following AAP exercise;
4. After a final formal consultation between concerned services, an official ARES note by DIR C to geographic directorates officially launches the preparation of the AAP (Year n) for the GCCA+ flagship initiative. Selected countries are informed accordingly, by November/December (Year n-1). Only on this basis, selected countries can benefit from technical support for the identification and/or formulation of GCCA+ actions.
5. Screening of Action Documents via a Quality Review Group (QRG) takes place between January and June, every year. Only ADs endorsed by QRG will be part of the AAP presented to DCI Committee.
6. After adoption of the AAP and related financing decision, the necessary contracting for implementation of the projects can be done at country level (Year n+1).

### 2.5.2. The cycle of operations

The cycle of GCCA+ operations follows the European Commission Project Cycle Management (PCM)<sup>28</sup> principles for effective implementation of EU external assistance.

### 2.5.3. Criteria of selection

The Annual Action Programme (AAP) is prepared following declared intention of countries, channelled via the EU Delegation staff, to develop a climate action responding to the GCCA+ initiative key requirements. Prior to the AAP, expressions of interest in the form of standard concept notes (see the GCCA+ checklist of eligibility in annex) are submitted by the EUD to DEVCO for an internal review of the rationale and quality of the action. Such screening takes into account:

1. The quality<sup>29</sup> of the request made, endorsed by the relevant country authorities and/or the delegation for a GCCA+ funded action;

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<sup>28</sup> <https://goo.gl/7sTibN>

<sup>29</sup> See dedicated section below on concept notes.



2. The status of the dialogue on climate change between the country and the EU (e.g., quality of related actions, joint declarations);
3. Political factors such as strategic and/or enforced cooperation with certain countries;

The role the country plays in the UNFCCC negotiations and commitment to its processes, and efforts in the implementation of related commitments.

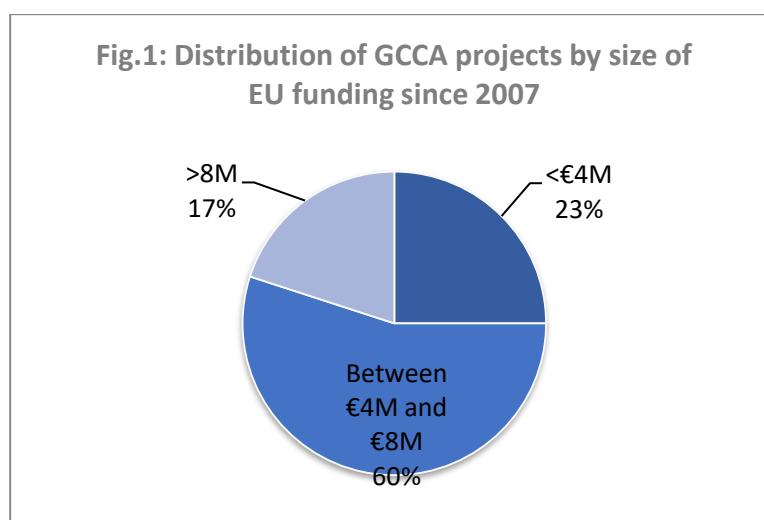
#### 2.5.4. Allocation of funds

The allocation of GCCA+ funds by country depends on the yearly budget availability under GPGC, the type/size of proposed intervention, country population size and the number of country requests in the given year. Available resources may vary each year. In line with the GCCA+ objectives, funds are prioritised to those countries most vulnerable to the adverse effects of climate change, geographical distribution and balance in coverage as well as above mentioned strategic and political factors. There is also the possibility to support a regional approach, when deemed more appropriate than a country approach (e.g., due to the small size of the countries or value added in using a regional approach).

Considerations such as having never benefitted from GCCA support and/or significant potential to scale-up a prior GCCA-funded intervention are also taken into account.

#### 2.5.5. Average project size

From 2007 to the end of 2017, most projects have received an EU financial contribution between 4 and 8 million Euros (see Figure 1). The average EU contribution (DCI, GPGC) has been 5 million Euros.





## 2.6. How to prepare a GCCA+ project proposal?

### 2.6.1. How to express interest

Expression of interests shall be directed<sup>30</sup> to DEVCO Unit C6 'Sustainable Energy and Climate Change' preferably by summer, each year, via submission of concise concept note (max. 3 pages). This submission shall be accompanied by the GCCA+ initiative checklist of eligibility. It is highly encouraged to explain the rationale sustaining the application to be supported by the GCCA+.

The review will be carried out against the following guiding principles (list is not exhaustive nor in order of priority):

1. Motivated interest of candidate country(ies) or region(s) in establishing, enhancing and/or expanding cooperation with the EU on climate change;
2. Clear climate objectives fully aligned with GCCA+ objectives (climate resilience, adaptation and /or mitigation);
3. Ownership by local and/or national government over the proposed climate action and clear link to national climate policies and strategies, relevant EU policies and global agenda for sustainable development and poverty reduction;
4. Degree of vulnerability of the country to the adverse effects of climate change;
5. Direct and significant contribution to existing national climate and sustainable development priorities and efforts;
6. Level of engagement of countries in the implementation of National Adaptation Strategy (NAPs) and Nationally Determined Contributions (NDCs) processes;
7. Clarity on the identification and prioritisation of beneficiaries, and of the expected outcomes;
8. Proposed level of engagement with national and local authorities and with a wide range of stakeholders;
9. Capacity of the proposed implementing body and mandate regarding the attainment of the climate objectives;
10. Demonstrated collaboration and coordination with other development partners;
11. Potential to maximise the leverage of funding and programmes and cooperation with other development partners;
12. Potential synergies with other ongoing climate actions in the national and/or regional framework for sustainable development and poverty reduction;
13. Capacity to build on practical experience including the scaling-up of successful pilot projects and build on positive experiences, GCCA past activities and evaluation(s)<sup>31</sup>, and other lessons learnt, notably at local level.
14. Any other relevant context/ justification in view to increase climate resilience.

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<sup>30</sup> The GCCA+ programme manager/focal point and Head of the Climate Change Sector. Contact details are provided in the section "Additional information and contacts"

<sup>31</sup> The GCCA evaluation is available here: <https://goo.gl/Zj6Hrp>. Thematic Global Evaluation of the EU support to environment and climate change in third countries 2007-2013: <https://goo.gl/hCakqp>

The short concept note (3 pages maximum in length) should focus on the above strategic points but is not expected to elaborate a full logic of intervention nor detailed set of activities.

### 2.6.2. Specific advices for the Action Documents

The preparation of the Action Document (AD) should follow the same process and requirements as set by DEVCO rules and processes for the preparation of Action Documents<sup>32</sup>, notably related to Programme Cycle Management<sup>33</sup> and climate change mainstreaming<sup>34</sup>.

Below are additional guidance elements for the formulation of a GCCA+ funded intervention based on several aspects drawn from:

- the GCCA+ Concept Note,
- the OECD approach<sup>35</sup> to assess the relevance of projects towards Rio Conventions,
- the recommendations of the European Financing Institutions Working Group on Adaptation to Climate Change<sup>36</sup>, and
- the UNFCCC Paris Agreement (e.g. in relation to the enhanced transparency framework of support),

are presented below to enhance the design of respectively Climate Change adaptation projects and Climate Change Mitigation projects.

Climate Change adaptation projects should:

1. **Set out the context of risks, vulnerabilities and impacts related to climate variability and climate change.** The context of climate vulnerability should be set out clearly using a robust evidence base. This could take a variety of forms, including use of material from existing analyses and reports, climate vulnerability assessments, risk assessments (including where, how and why), impacts projected at sector level (e.g., water resources, agricultural production)<sup>37</sup>, economic and/or sustainability impact assessments.
2. **Explicitly state the intent to address the identified risks, vulnerabilities and impacts in project documentation.** The project should set out clear climate related objectives, and how it intends to address the context- and location- specific climate change priority, vulnerabilities and risks. Particular attention should be paid so as to ensure meaningful outputs despite relatively short project periods.
3. **Demonstrate a clear and direct link between the identified risks, vulnerabilities and impacts and the specific project activities.** The project

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<sup>32</sup> GCCA+ action documents shall comply with the latest DEVCO template, accessible by EUDs from the Procedures and practical guide (PRAG).

<sup>33</sup> <https://goo.gl/7sTibN>

<sup>34</sup> <https://bit.ly/2BIXryn>

<sup>35</sup> DCD/DAC(2016)3/ADD2/FINAL; <https://goo.gl/9n6b8a>

<sup>36</sup> Climate Change Information and Adaptation in Project Development, <https://goo.gl/IVHQq7>

<sup>37</sup> Further guidance at sector level can be found in the sector notes for the integration of Environment and Climate Change into EU International Cooperation and Development: <https://goo.gl/HkcxD4>

should explicitly address risk and vulnerabilities under current and future climate change as identified in the project documentation.

Climate Change Mitigation projects should demonstrate their capacity to contribute to:

1. **limiting** anthropogenic **emissions of greenhouse gases** (GHGs), including gases regulated by the Montreal Protocol; and/or
2. the protection and/or enhancement of GHG sinks and reservoirs (such as forests, soils, marshlands...).

It is strongly recommended to use the latest information available on climate change impacts and vulnerability studies. This can be provided by regional and scientific centres such as (non-exhaustive list): the Permanent Interstates Committee for Drought Control in the Sahel ([www.cilss.bf](http://www.cilss.bf)), the Consultative Group for International Agricultural Research programme on climate change (<https://ccafs.cgiar.org>), the Coastal Oceans Research and Development in the Indian Ocean (<http://cordioea.net>), the ClimDev initiative ([www.climdev-africa.org](http://www.climdev-africa.org)), the Agrhymet centre ([www.agrhymet.ne](http://www.agrhymet.ne)), the International Centre for Integrated Mountain Development (<http://www.icimod.org>), the Secretariat of the Pacific Regional Environment Programme (<http://www.sprep.org>), the Caribbean Community Climate Change Centre (<http://www.caribbeanclimate.bz>).

## 2.7. How to access GCCA+ Technical Assistance (Support Facility services)?

### 2.7.1. Support in the preparation of GCCA+ interventions

Once a country is selected under an Annual Action Programme (AAP), technical assistance from the GGCA+ initiative Support Facility can be accessed during the formulation phase of the intervention e.g., for the preparation of Action Documents. Specific guidelines have been developed to describe the process to request for such support.

GCCA+ guidelines to access technical assistance from the GCCA+ Support Facility for identification and formulation phases, and related sample Terms of Reference (ToRs) are also available as part of the GCCA+ orientation package (Annex 4).

EU Delegations can also use their own funding and usual procurement processes to recruit external expertise for formulation<sup>38</sup>.

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<sup>38</sup> In case CVs of proposed consultants refer to previous experience with the Support Facility, the EUD may contact the SF to verify the references.

### 2.7.2. Trainings

The preparation of technical papers, background documents, training materials, as well as reviews of best practices from across the GCCA+ initiative is also one of the key roles of the Support Facility. The proposed training modules make direct use of the knowledge and expertise of the Support Facility members as well as the wider climate change and development landscape. Their update was launched with the Joint Capacity Development Needs Analysis related to Environment, Climate Change, Biodiversity, Green Economy, finalised in October 2016<sup>39</sup>. The new modules intend to complement the existing trainings for EU staff within the Methodological and Knowledge Sharing (MKS) programme, and targets project officers to enable them to provide clear, concise and up-to-date information on climate change action that can be useful in their activities.

### 2.7.3. Other Support Facility services

Within its available services, which comprise supporting policy dialogue, sharing knowledge and serving GCCA+ communication, the Support Facility can also deliver short-term, demand-driven and ad-hoc assignments that enable beneficiaries to fill a specific capacity gap which is currently preventing them from achieving their goals related to climate change adaptation, mitigation and disaster risk reduction. This is mainly done remotely, however, in special cases, can also be implemented through short country missions.

## 3. Monitoring and evaluation of GCCA+ actions

The existing **GCCA+ Results Framework** and the GCCA+ M&E strategy being developed aim at providing information needed to guide decision making and resources management, and to keep track of quantifiable results pursued through a GCCA+ project in partner countries and regions.

In line with the GPGC thematic programme, the GCCA+ flagship initiative's objectives and the EU International Cooperation and Development Results Framework (EURF)<sup>40</sup>, it will facilitate:

- Measuring GCCA+ contribution to DEVCO actions, in relation to the Sustainable Development Goals (SDGs) of interest to the GCCA+ flagship initiative's mandate under the GPGC, and to the EU commitment to use at least 20% of its budget for 2014-2020 on climate change-related action;
- Providing an overview of GCCA+ achievements, quantitatively and qualitatively, at country level and across GCCA+ targeted countries;

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39 « Joint Capacity Development Needs Analysis related to Environment, Climate Change, Biodiversity, Green Economy - Final report - October 2016 », EUROPEAN COMMISSION Directorate General for International Cooperation and Development, DCI/ENV/2015/365-966, EU Technical Assistance Facility for the Biodiversity for Life (B4Life)

40 [https://ec.europa.eu/europeaid/sites/devco/files/swd-2015-80-f1-staff-working-paper-v3-p1-805238\\_en\\_0.pdf](https://ec.europa.eu/europeaid/sites/devco/files/swd-2015-80-f1-staff-working-paper-v3-p1-805238_en_0.pdf)





- Collecting and providing selected information on the overall performance of the EU GCCA+ flagship initiative.

This will be achieved by collecting data related to set indicators<sup>41</sup>; notably related to the EURF and the SDGs, but also projects' results, and to the other main outputs of the GCCA+ related to policy dialogue, experience sharing, knowledge management and communication.

In order to provide an overview of key GCCA+ achievements, the selected indicators need to be aligned to the GCCA+ priority areas and identified key sectors, and fit for meaningful aggregation across projects<sup>42</sup>.

To this purpose, GCCA+ projects and EU Delegations staff will be invited to:

- Identify selected standard indicators, during project identification and formulation, to be included in the Action Document's logical framework. Of particular importance are the indicators dedicated to climate change at SDG level (SDG 13), potentially at national and sector level, EURF level 2 indicators, and GCCA+ outcome indicators for adaptation and mitigation.
- During implementation, provide regular information on their activities and results, once a year under the coordination of the GCCA+ Support Facility and DEVCO C6.

It should be noted that the GCCA+ Result Framework is a living document which can be regularly reviewed, following updates of its own references such as the EURF or SDG indicator systems.

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41 The GCCA+ Result Framework and set of indicators will be available to EUD staff via the collaborative platform on the GCCA+ website: [www.gcca.eu](http://www.gcca.eu) (NB: The collaborative platform is under development)

42 Principles of indicators coverage and aggregation are explained in the Commission Staff Working Document "A Revised EU International Cooperation and Development Results Framework in line with the Sustainable Development Goals of the 2030 Agenda for Sustainable Development and the New European Consensus on Development", SWD(2018) 444 final, dated 11.10.2018.



In order to have complementary information that is more specific to GCCA+ objectives, the GCCA+ RF proposes to use *one (1)* specific indicator for interventions focusing on climate change adaptation, and another *one (1)* for interventions on climate change mitigation.

Outcome indicator proposed for Climate Change **Adaptation**:

- Number of final beneficiaries (disaggregated by sex) of climate adaptation measures supported by the GCCA+ project/programme (disaggregated by type of adaptation measure)

Examples, in given sectors:

- Number of people benefitting from malaria control measures in local areas threatened by increased incidence due to climate change (Health)
- Number of water users benefitting from conservation measures in areas where enhanced water stress due to climate change is anticipated (Water and sanitation)
- Number of users of water saving irrigation methods to withstand climate change (Agriculture).
- Number of fishermen using practices to adapt to changes in fish stocks and target species (Fisheries).
- Number of people benefitting from flood prevention measures such as watershed management, reforestation or wetland restoration (Disaster risk reduction).
- Number of users of insurance schemes to cope with potential climatic disasters (Disaster risk reduction, Agriculture).

Outcome indicator proposed for Climate Change **Mitigation**:

- GHG Emissions reduced or avoided expressed on the basis of CO<sub>2</sub> equivalent by the EU supported intervention (kt CO<sub>2</sub> eq).

The GCCA+ RF also includes methodological notes to guide on the use of each indicator.

The GCCA+ Results Framework is also available as part of this GCCA+ orientation package (Annex 5).

## 4. Communication and knowledge management of GCCA+ actions

The Global Climate Change Alliance Plus (GCCA+) flagship initiative also deals with capturing, sharing and communicating evidence-based information, knowledge and news derived from past GCCA and ongoing GCCA+ projects around the world. The main objective is to share experiences, build capacity and improve knowledge on climate change issues the initiative deals with.

To that purpose, under the GCCA+ initiative, a collaborative platform accessible from the GCCA+ website under restricted access is being developed for 2019. This platform is aiming at providing a space for GCCA+ project managers and staff and at facilitating exchange of information and dialogue among/with GCCA+ stakeholders. With GCCA+ Capacity4Development (CAP4DEV) groups and workspaces, this GCCA+ collaborative platform will help implementing partners and particularly EUD staff from around the world to learn from each other's experiences.

Knowledge management and communications tools are being put into place so that GCCA+ stakeholders can have access to and share relevant GCCA+ related documents, research papers, policy documents or reports on specific topics, videos and photographs. It aims at sharing knowledge and communicating by:

- developing engaging stories;
- sharing experiences and lessons learned;
- sharing good and/or innovative practices;
- facilitating exchange between stakeholders and partners.

GCCA+ project managers and EUDs staff (especially GCCA+ and Climate Change focal points) will continue to be invited to update their project information once a year to share project information and materials (photos, videos, reports – progress, ROM, evaluations, updates). This task will soon be undertaken through an IT form embedded in the GCCA+ collaborative platform. Other specific requests in time might also be launched via the workspaces under Cap4Dev or via the GCCA+ collaborative platform (e.g., call for best practices on a topic or theme). It is expected that projects and stakeholders will thus benefit from increased visibility and new forms of collaboration, as well as from more networking, learning and innovation.

GCCA+ communication and knowledge management guidelines for the initiative's partners and stakeholders are also available as part of this GCCA+ orientation package (Annex 6) or as stand-alone guidelines.

## 5. Additional information and contacts

For thematic quality support, please address DEVCO Unit C6 'Sustainable Energy and Climate Change'. For more information, please consult GCCA+ initiative website: [www.gcca.eu](http://www.gcca.eu).

The GCCA+ orientation package also provides various other guidelines mentioned in this document as well as core GCCA+ documents such as the GCCA+ Concept note "[The plus of GCCA+](#)".

Please also ensure that you receive the GCCA+ e-newsletter, and subscribe the GCCA+ community public group on Capacity for Development (CAP4DEV) to ensure you receive the latest news on the GCCA+ programme, including on its policy dialogue activities, events and workshops.

1. Subscription to the GCCA+ e-newsletter can be made on the home page of [GCCA+ website](#).
2. Subscription to the GCCA+ community public group on CAP4DEV can be made here: <http://capacity4dev.ec.europa.eu/gcca-community>

As indicated in these guidelines, the GCCA+ Support Facility has the capacity to support EU Delegations and partner countries. Further information is available here: <http://www.gcca.eu/services/how-does-gcca-support-works>.

Contacts for queries related to the GCCA+ programme and thematic quality support:

- Ms Karine Olislagers ([Karine.Olislagers@ec.europa.eu](mailto:Karine.Olislagers@ec.europa.eu)), GCCA+ Programme Manager/Focal Point, DG DEVCO Unit C6,
- Mr Andrea Alfieri ([Andrea.Alfieri@ec.europa.eu](mailto:Andrea.Alfieri@ec.europa.eu)), Head of Climate Change Sector, DG DEVCO Unit C6.

Contacts for GCCA+ intra-ACP programme:

- Mr Nicola DI PIETRANTONIO ([Nicola.DI-PIETRANTONIO@ec.europa.eu](mailto:Nicola.DI-PIETRANTONIO@ec.europa.eu)), Programme Manager, DG DEVCO-C6.

Contacts for information on GCCA+ Support Services:

- Mr Christophe Legrand ([Christophe.Legrand@gcca.eu](mailto:Christophe.Legrand@gcca.eu)), Team Leader, GCCA+ Support Facility,
- Mr Geraldo Carreiro ([Geraldo.Carreiro@gcca.eu](mailto:Geraldo.Carreiro@gcca.eu)), Climate Change expert, GCCA+ Support Facility,
- Mr Guido Corno ([Guido.Corno@gcca.eu](mailto:Guido.Corno@gcca.eu)), Climate Change expert, GCCA+ Support Facility,
- Ms Francesca Predazzi ([Francesca.Predazzi@gcca.eu](mailto:Francesca.Predazzi@gcca.eu)), Communication expert, GCCA+ Support Facility,





- Ms Jane Wilkinson ([Jane.Wilkinson@gcca.eu](mailto:Jane.Wilkinson@gcca.eu)), Strategic Mitigation Advisor, GCCA+ Support Facility,
- Ms Monicaalessandra Bonfanti ([Monica.Bonfanti@gcca.eu](mailto:Monica.Bonfanti@gcca.eu)), Climate Change Mitigation expert, GCCA+ Support Facility, and
- Ms Karla Van Eynde ([Karla.VanEynde@gcca.eu](mailto:Karla.VanEynde@gcca.eu)), M&E & MRV expert, GCCA+ Support Facility.
- Other requests can be sent to: [info@gcca.eu](mailto:info@gcca.eu)

## 6.Resources – See Annexes

Annex 1 – The plus of the GCCA (GCCA+ Concept Note)

Annex 2 - Non-Exhaustive List of Acronyms

Annex 3 - GCCA+ eligibility checklist (combined to proposal preparation)

Annex 4 - How to access GCCA+ Technical Assistance (Support Facility):  
Guidelines and sample ToRs

Annex 5 - GCCA+ Results Framework

Annex 6 – GCCA+ Communication and knowledge management  
guidelines