

LoCAL

ANNUAL REPORT **2016**



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ACRONYMS

ANICT	Local Authorities National Investment Agency (Agence Nationale d'Investissement des Collectivités Territoriales)
COP	Conference of the Parties
EU	European Union
FNEC	National Fund for Environment and Climate (Fonds National pour l'Environnement et le Climat)
GCCA+	Global Climate Change Alliance
GCF	Green Climate Fund
GEF	Global Environment Facility
IIED	International Institute for Environment and Development
KEI	Korea Environment Institute
LDC	least developed country
LoCAL	Local Climate Adaptive Living
NAP	National Adaptation Plan
NCDD	National Committee for Democratic Development
PBCRG	performance-based climate resilience grant
PO-RALG	President's Office Regional Administration and Local Government
PEI	Poverty-Environment Initiative
Sida	Swedish International Development Cooperation Agency
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

ABOUT LoCAL

PURPOSE

Climate change is a **global challenge** whose effects are most dramatically observed and experienced at the local level. Whilst much attention is given to international climate negotiations and actions in which central governments participate, local governments are best placed to understand and address the issues of climate change – especially when it comes to the planning and implementation of adaptation measures. In many cases, local governments are ultimately responsible for a number of policy areas that are of extreme importance to the success of adaptation measures such as water management or land use and administration (zoning, planning and construction).

Least developed countries (LDCs) – where the capacity for adaptation and resilience are hampered by poverty, a lack of infrastructure and basic services, and inadequate resources and capacities to deal with the worst effects of climate change – are especially vulnerable to climate change. Generally speaking, LDCs and their populations are the most exposed to climate change, and a large proportion of LDCs are located in geographical areas where climate change can have dramatic impacts on people's living conditions. At the same time, the largely rural character of many LDCs means that the impact of climate change can

Pond re-excavation for tribal community climate resilience, Mohonpur Upazila, Rajshahi District, Bangladesh; photo: Cédric Jancloes
© UNCDF/LoCAL

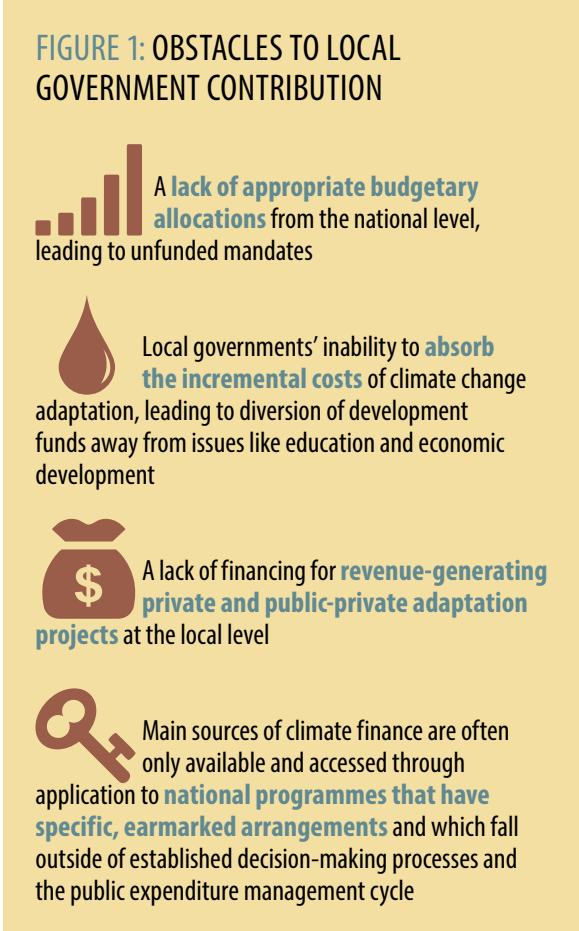


have very severe repercussions on livelihoods, as disastrous climate events can destroy the resource base of many dependent on water and land for growing their crops and feeding their families.

The critical role of local governments in all this is increasingly recognized and was, in fact, highlighted in the **Intergovernmental Panel on Climate Change's** (IPCC's) [Fifth Assessment Report](#) in 2014. Decentralized climate action has also gained traction during the recent global climate change conferences. The 2015 Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) in Paris (**COP21**) emphasized the role of local governments and formally recognized them as key players in the fight against catastrophic temperature increases. The most recent climate conference (**COP22**) in Marrakesh in 2016 sought to further cement this role. The **Climate Summit for Local and Regional Leaders** convened at this occasion specifically dealt with the question of how to finance and support local climate action, acknowledging that local governments are at the front line of decision making given the responsibilities vested in them by national laws and their unique position in representing and addressing issues that matter to local populations.

APPROACH

Despite the clear relevance of the local level to meaningful adaptation, evidence shows that most local governments in LDCs cannot contribute effectively to climate change adaptation and resilience building. A number of reasons underlie this inability, as shown in Figure 1.



The **Local Climate Adaptive Living (LoCAL) facility** is a United Nations Capital Development Fund (UNCDF) global programme designed to help local governments in LDCs access and effectively spend vital funding for local adaptation measures, using performance-based climate resilience grants (PBCRGs) to increase awareness of and responses to climate change.

LoCAL operates primarily in LDCs, working with rural local governments at the lowest or second-lowest tier and small towns with populations of under 600,000.

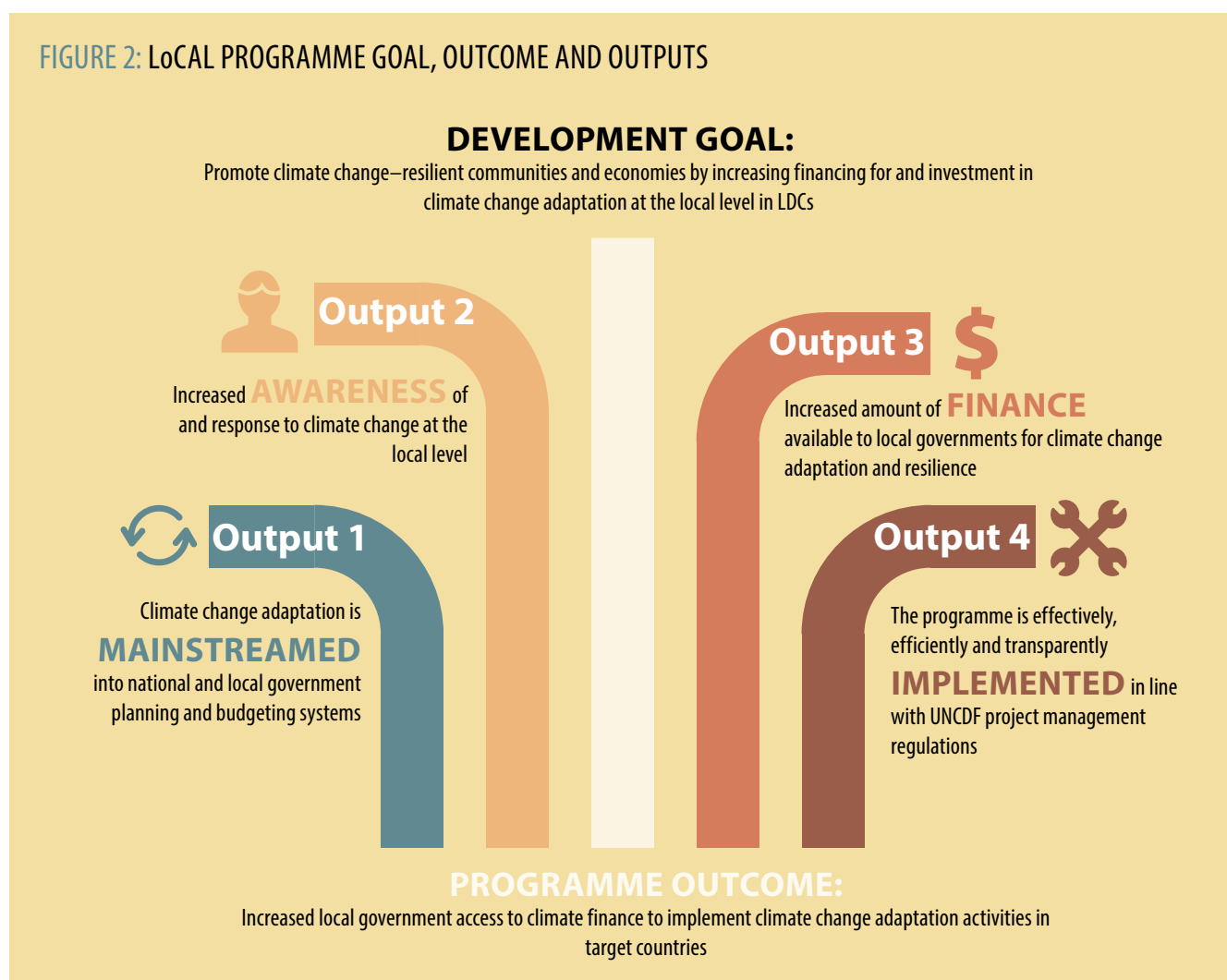
PBCRGs are an especially effective mechanism for climate change adaptation, as they include a performance element that incentivizes local governments to specifically target adaptation measures – whilst at the same time increasing transparency and accountability by enabling the verification of climate change expenditure at the local level. The latter is a crucial element in building capacity and trust, thereby increasing local governments' chances to access wider sources of climate funding.

In addition to its financial component, LoCAL provides **technical assistance** to local governments to help them better integrate climate change adaptation into their local planning and budgeting processes, thereby improving preparedness for, awareness of and resilience to climate change.

The following summarizes the LoCAL global programme's results and resource framework, illustrated in Figure 2.

- **LoCAL development goal.** Promote climate change–resilient communities and economies by increasing financing for and investment in climate change adaptation at the local level in LDCs, thereby contributing to the achievement of the Sustainable Development Goals (SDGs), particularly Goal 1, ending poverty; and Goal 13, combating climate change and its impacts.
- **Programme outcome.** Increased local government access to climate finance to implement climate change adaptation activities in target countries.
- **Output 1: Mainstreaming.** Climate change adaptation is mainstreamed into government planning and budgeting systems.
- **Output 2: Awareness.** Increased awareness of and response to climate change at the local level.
- **Output 3: Finance.** Increased amount of climate change adaptation finance available to local government and local economy.
- **Output 4: Implementation.** The programme is effectively, efficiently and transparently implemented in line with UNCDF programme management regulations.

FIGURE 2: LoCAL PROGRAMME GOAL, OUTCOME AND OUTPUTS



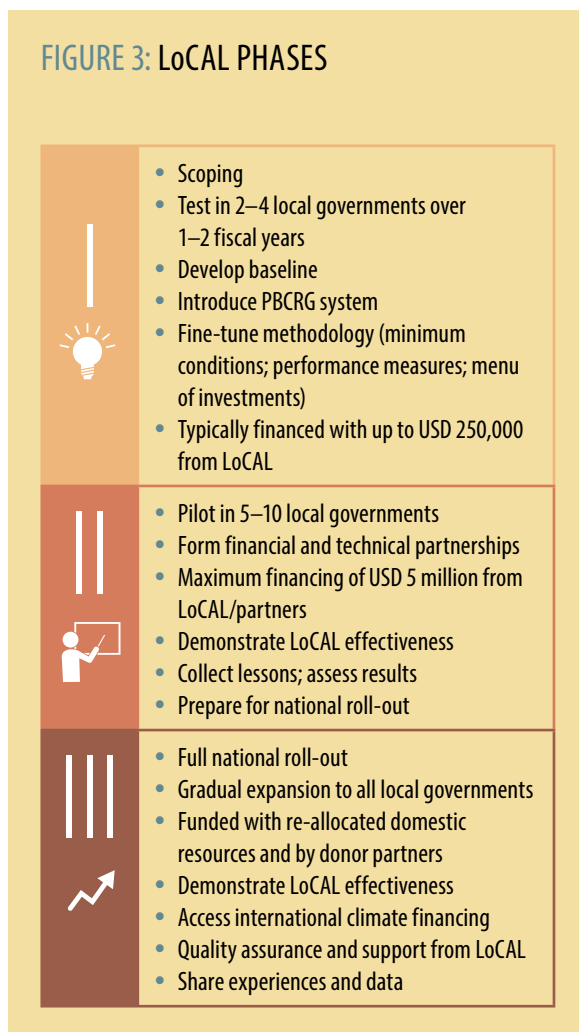


Half-moon agricultural technique, Sokorbé, Niger; photo: Nasser Alqatami © UNCDF/LoCAL

PERFORMANCE-BASED CLIMATE RESILIENCE GRANTS

At the country level, LoCAL builds on decades of **UNCDF experience** in promoting and strengthening fiscal decentralization, public financial management and local development using grants as the main financial instrument to test new fiscal transfer systems.

FIGURE 3: LoCAL PHASES

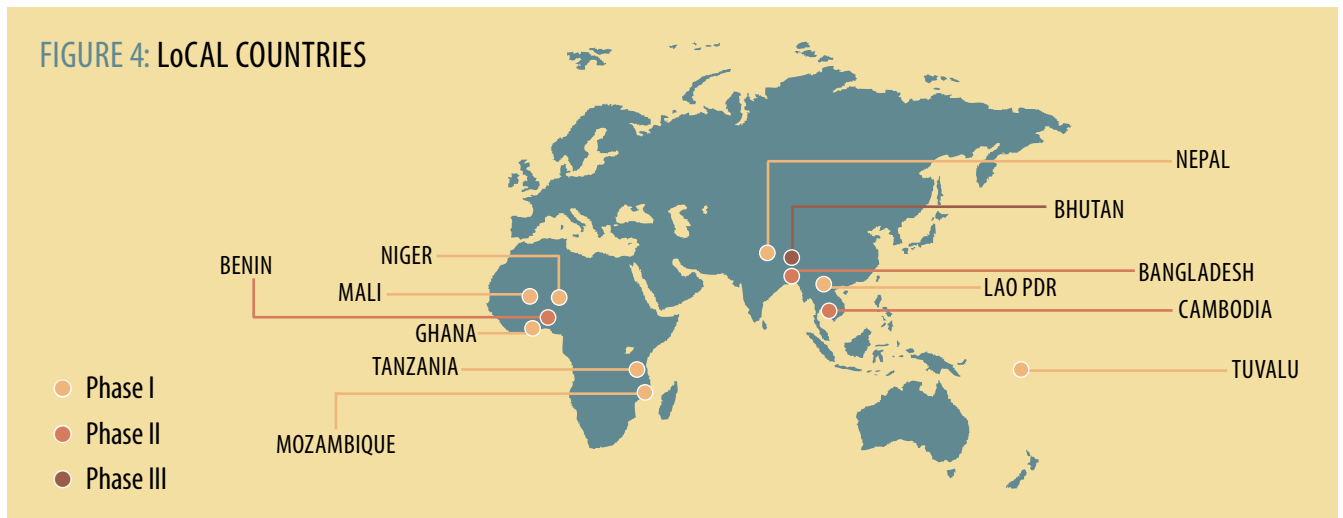


LoCAL grants are used to **create climate-resilient small-scale infrastructure or to climate-proof** existing infrastructure that is threatened by the effects of climate change, such as extreme droughts and floods or catastrophic climate events.

PBCRGs work as a **financial top-up** to cover the additional costs of making infrastructure climate resilient and are channelled primarily through existing fiscal transfer mechanisms in the countries where LoCAL intervenes, thereby strengthening national appropriation and accountability. Minimum conditions are used to assess which local governments are eligible to participate in the new system, and performance measures are applied through an annual assessment to ensure that local governments are meeting climate change adaptation objectives. The performance measures are used to adjust the level of funding made available to the local government. Where local governments are found not to have met the criteria, corrective action is undertaken by the LoCAL programme to help improve performance in those areas where the local governments are lagging.

The programme operates in three distinct phases (Figure 3), each associated with specific criteria to determine the programme’s degree of maturity in the respective country (Figure 4).

FIGURE 4: LoCAL COUNTRIES



- **Phase I: Piloting**, consists of initial scoping, followed by testing in two to four local governments. Phase I countries are Ghana, Lao PDR, Mali, Mozambique, Niger, Nepal, Tanzania and Tuvalu.
- **Phase II: Learning**, takes place in 5–10 local governments in a country. It involves collecting lessons and demonstrating the mechanism’s effectiveness at a larger scale. Bangladesh, Benin and Cambodia are currently in Phase II.
- **Phase III: Scaling-up**, is full national roll-out of LoCAL based on the results of the previous phases and lessons learned. LoCAL is gradually extended to all local governments, with domestic or international climate finance, and becomes the national system for channelling adaptation finance to the local level. Funding from the European Union (EU) has been approved for Bhutan’s Phase III, and Cambodia has similarly begun its Phase III preparations.

Construction of mechanized borehole and water storage facility at Kadjanya, Ghana; photo: Ada East District © UNCDF/LoCAL





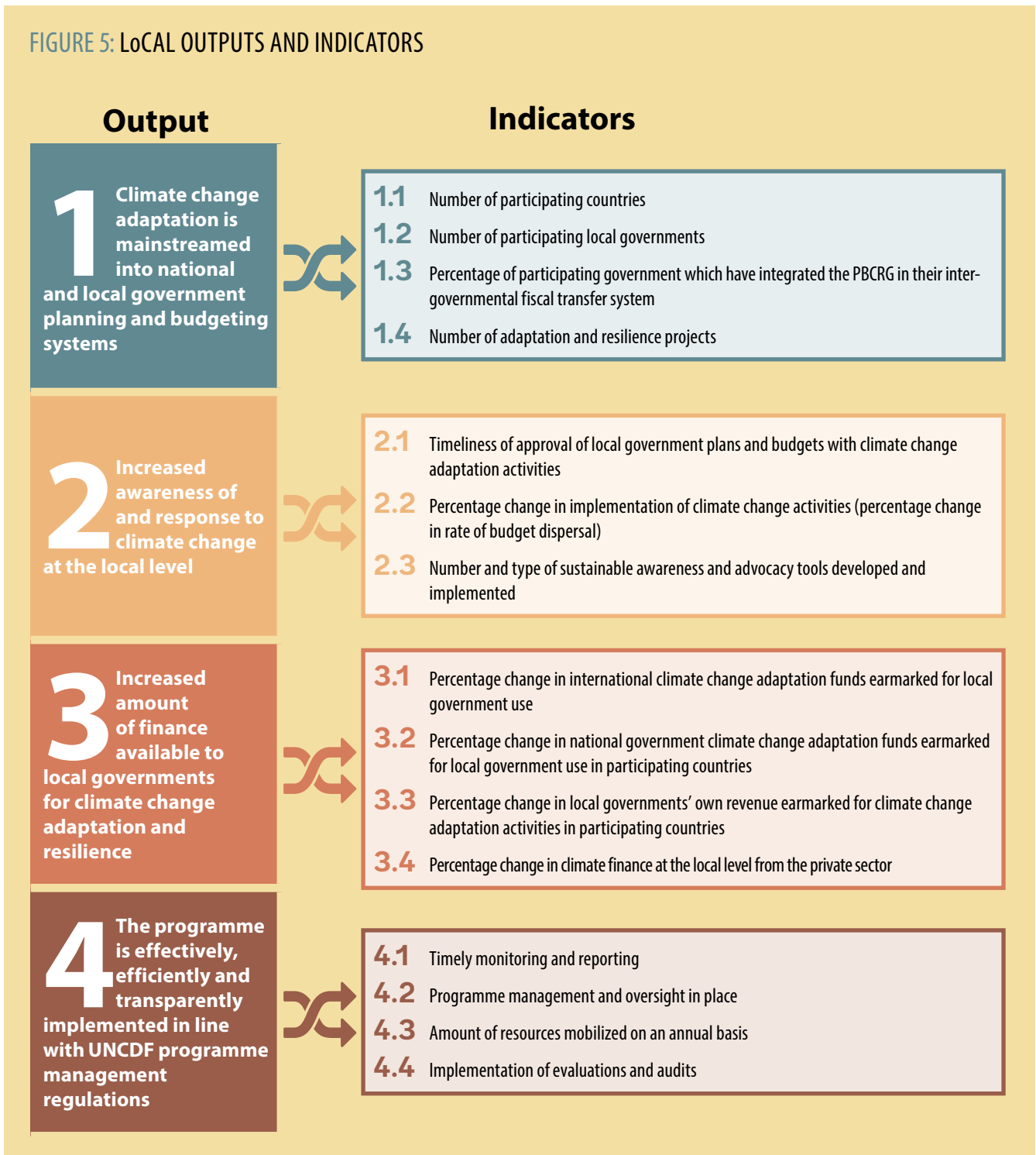
2016 HIGHLIGHTS

The LoCAL global programme achieved its output targets for 2016; these accomplishments are detailed on the following pages by output and in terms of the indicators established in the UNCDF LoCAL [Global Project Document](#) (see Figure 5). Notable achievements include the following.

- **As of end 2016, Phase I and II LoCAL programmes had been designed and adopted in 12 countries.** The countries participating in LoCAL in 2016 – either via a signed memorandum of understanding or a project implementation agreement – are Bangladesh, Benin, Bhutan, Cambodia, Ghana, Lao PDR, Mali, Mozambique, Nepal, Niger, Tanzania and Tuvalu.
- **Two countries – Bhutan and Cambodia – are ready to move to Phase III; two more – Bangladesh and Benin – have moved from the Phase I pilot to consolidation (Phase II).** LoCAL Phase III (scale-up) in Bhutan was approved by the EU, with a target to scale the PBCRG programme to 100 local governments by 2020 with EU budget support. Also in 2016, Tanzania was added to the global portfolio as a new Phase I country.
- **In 2016, LoCAL delivered close to USD 3 million to LoCAL countries.** Grants totalled almost USD 2 million.
- **As of end 2016, 64 local governments in 12 countries representing over 5 million people were engaged in the PBCRG system.**
- **Significant climate assessment activities occurred during the year.** Bhutan and Cambodia, with support from the Korea Environment Institute (KEI), began developing scientific climate change reports. Benin, Ghana, Mali and Niger benefitted from a thorough review of their respective climate change risk, vulnerability and adaptation assessment country landscape, paving the way for more robust and scientific local climate assessments to inform local authority planning and investment.
- **Over 130 investments were completed across 10 countries using LoCAL grants in 2016.** The portfolio addresses a range of sectors from water and sanitation to agriculture, disaster prevention and preparedness and transport and storage as well as a diverse set of ecosystems, from the mountainous areas of Bhutan to the drylands of Niger.
- **In 2016, an additional USD 9.75 million was mobilized by LoCAL for Bangladesh, Cambodia and Tuvalu.** In addition, the Governments of Bangladesh, Benin and Bhutan each committed domestic financial resources to gradual LoCAL scale-up.

Opposite: LoCAL Board Meeting in New York, April 2016; photo: Kulrisa Shayavee
© UNCDF/LoCAL

FIGURE 5: LoCAL OUTPUTS AND INDICATORS



➤ **Mali and Tanzania nominated national implementing entities for Green Climate Fund (GCF) accreditation.** In Mali, the Local Authorities National Investment Agency (Agence Nationale d'Investissement des Collectivités Territoriales - ANICT) was nominated as the country's first national implementing entity to be accredited by the GCF. With support from LoCAL, the Decentralization of Climate Finance programme was launched in Tanzania and the President's Office Regional Administration and Local Government (PO-RALG) was nominated as Tanzania's national implementing entity for the GCF.

- **A gap assessment report by PriceWaterHouse Coopers was released in Cambodia in 2016.** This followed the nomination of Cambodia's National Committee for Sub-national Democratic Development as a GCF national implementing entity. In Benin, the National Fund for the Environment and Climate (Fonds National pour l'Environnement et le Climat – FNEC) was also nominated as a GCF national implementing entity. The Secretariat of the National Committee for Democratic Development (NCDD) in Cambodia and Benin's FNEC are pursuing their efforts in GCF accreditation, with a view to LoCAL scaling-up.
- **Benin, Cambodia and Mali initiated a joint effort to prepare and submit proposals to the GCF featuring the LoCAL approach.** The proposals were prepared with support from the LoCAL Secretariat and were submitted in January 2017.
- **The LoCAL mechanism was featured in a guidance note launched by the National Adaptation Plan Global Network in COP22 in Marrakesh.** This mention in the [Vertical Integration in National Adaptation Plan \(NAP\) Processes: A Guidance Note for Linking National and Sub-national Adaptation](#) was the result of global awareness raising and advocacy.

Commune council officer takes proposed plans to district integration workshop, Sampeouv loung District, Battambang, Cambodia; photo: Cédric Jancloes © UNCDF/LoCAL

OUTPUT 1: MAINSTREAMING

PARTICIPATING COUNTRIES AND LOCAL GOVERNMENTS

The Year 3 (2016) programme target was to have **Phase I LoCAL programmes designed and adopted** in a total of 12 countries with 36 local governments involved. This 12-country target was met with Tanzania joining LoCAL in 2016. The target of 36 participating local governments was well exceeded, with 64 local governments involved. During 2016, LoCAL focused its efforts on beginning a programme in Tanzania, as well as on consolidating interventions, financial mechanisms and tools in existing programme countries.

- In June 2016, **Tanzania's** PO-RALG, the UK-based International Institute for Environment and Development (IIED) and UNCDF signed a project implementation agreement on decentralized climate finance. The project objectives are to provide technical and financial support to the government to build its capacities to





LoCAL-supported elevated road in Rokakiri District, Battambang, Cambodia; photo: Cédric Jancloes © UNCDF/LoCAL

mainstream climate change into local government planning and financial systems and to prepare PO-RALG to be accredited as a GCF national implementing entity. The first phase of the project, funded by UK aid, will deliver functioning, monitored climate adaptation finance to the Monduli, Longido and Ngorongoro District Councils. LoCAL is providing technical expertise and support to PO-RALG in the design of a devolved climate finance system based on the PBCRG system developed by UNCDF and integrating the Climate Adaptation Fund approach piloted by the IIED, and will contribute to its successful delivery. The LoCAL programme in Tanzania will be part of the country's Decentralization of Climate Finance initiative. LoCAL will facilitate the Government of Tanzania's participation in the LoCAL Programme Board and Forum and its access to the LoCAL network of practitioners and strategic partners.

- In **Tuvalu**, which joined LoCAL in 2016, important work has begun on mobilizing the participating governments and using participatory planning activities to identify and agree on priority investments for the first investment cycle. The first grant of USD 130,000 was disbursed in 2016; this will help build climate-resilient infrastructure in three local governments.
- In **Benin**, LoCAL effectively moved into Phase II, granting three additional communes access to the PBCRG system with an additional three expected to join in 2017, with co-financing from FNEC of USD 120,000 in 2016 and USD 240,000 in 2017. This will effectively bring the mechanism to 9 of the country's 77 local governments in 2017.
- More countries have expressed an interest in joining LoCAL, and two countries in Africa benefitted from scoping (**Uganda**) and/or design work (**Lesotho**) in 2016. Design work in Uganda and launch of LoCAL Phase I in Lesotho are pending mobilization of financial resources in 2017–2018.

PBCRG INTEGRATION

As of December 2016, **64 local governments are using the PBCRG system**; as noted, this exceeds the Year 3 target. Of these, 46 local governments, or 72 per cent, have integrated the

PBCRG system in their public expenditure management/inter-governmental fiscal transfer system – 10 in Lao PDR, 8 each in Bhutan and Cambodia, 6 in Benin, 4 in Mozambique, 3 each in Bangladesh and Ghana, and 2 each in Mali and Niger. The target for such integration in Year 3 was 45 per cent of participating local governments.

In **Mozambique**, in addition to the USD 100,000 transferred in 2015 to one of the pilot districts, USD 400,000 was channelled through e-SISTAFE in 2016 to four local governments in the Gaza Province (Chicualacuala, Massingir, Mabalane and Guija) to implement climate-adaptive investments; these particularly involved water-related infrastructure in regions with high levels of drought and water scarcity.

In **Benin**, six local governments currently use the PBCRG system in the Atacora-Donga and Alibori Departments. Of these six local governments, four have fully integrated climate change adaptation into their local development plans.

ADAPTATION AND RESILIENCE INTERVENTIONS/MEASURES

Collectively, nine LoCAL countries (Bangladesh, Benin, Bhutan, Ghana, Lao PDR, Mali, Mozambique, Nepal and Niger) delivered an estimated 131 small-scale climate-resilient investments in 2016. Five countries (Benin, Ghana, Mali, Mozambique and Niger) completed their first investment cycle of local climate-resilient investments.

- In **Mali's** Simby commune, LoCAL financed a 2-hectare market gardening plot for women's groups, using supplementary pools, hedges and wire fencing. Investment in the Sandaré commune was used to install two solar-based well water pumps and a drinking water system in a nearby village.
- In Baziga in Sokorbé, **Niger**, 55 hectares of degraded lands were rehabilitated using semi-circular bunds to combat erosion. These bunds slow rainwater run-off and encourage greater soil infiltration, thus better supporting plants' water needs. The work was undertaken by local populations via a cash-for-work programme.

A management committee was established to make the infrastructure sustainable, protect the site and ensure that beneficiaries are able to enjoy it equally. Also in Sokorbé, two wells have been rehabilitated at Faré Gorou Kaina and Kimia Koara. This rehabilitation work increased the water level, protects the wells from climate variation by raising their coping by 0.5 metres, and installed gates and troughs to help village women draw water. An organizational mechanism and management committee for the rehabilitated wells has been established in each village. Six adaptation measures were implemented in Dogonkyria. Three capacity-building initiatives were conducted: training and equipping 50 phytosanitary volunteers, establishing five community early warning and emergency response systems, and training community workers in climate change issues. Three wells have also been dug or rehabilitated.

Village children on the LoCAL-supported bailey bridge in Rameychen, Phobji Gewog, Bhutan; photo: Ugen P. Norbu © UNCDF/LoCAL



- In **Nepal**, 27 small-scale interventions were completed in 2016. These addressed river embankments, pond conservation and plantations to prevent erosion, and irrigation canal renovation in selected sites of the Rupandehi District. Spring course protection was also completed at eight sites in the Dhading District, thereby providing better access to drinking water for the local population.
- In **Lao PDR**, 12 adaptation measures were implemented in the provinces of Saravane and Sekong. Amongst these were important upgrades to village water supply systems and irrigation schemes, as well as the construction of two small bridges in Ban Donglouang and Ban Houaykeung. Overall, these investments benefitted a total of 17,018 people.
- In **Ghana**, investments were made to stem soil erosion and rehabilitate degraded land. In Efutu, 10,000 acassia siamea trees were planted along the Ntakofam stream, 3,000 seedlings and 2,000 trees were planted in the Fanteakwa District and 1,000 mangrove seedlings were planted in the Ada East District.
- Two districts in **Bhutan** completed irrigation and climate-resilient transport infrastructure in 2016. In Wangduephodrang District, several farm roads, water supply systems and irrigation channels were upgraded to counteract the effects of soil erosion. Several flood protection investments were also made in the Zhemgang District, notably through the construction of flood protection drains, walls and channels.

Across all LoCAL countries, **over half of the investments focused on water and sanitation and agriculture**, followed by disaster prevention and preparedness, transport and storage and forestry (Figure 6).

In terms of ecosystems, the **majority of the investments are undertaken in cultivated areas** (Bangladesh, Benin, Ghana, Lao PDR, Mali and Mozambique) and mountains (Bhutan, Lao PDR and Nepal) followed by drylands (Mali and Niger) and coastal areas (Ghana) (Figure 7).

FIGURE 6: LoCAL INVESTMENTS BY SECTOR, 2016

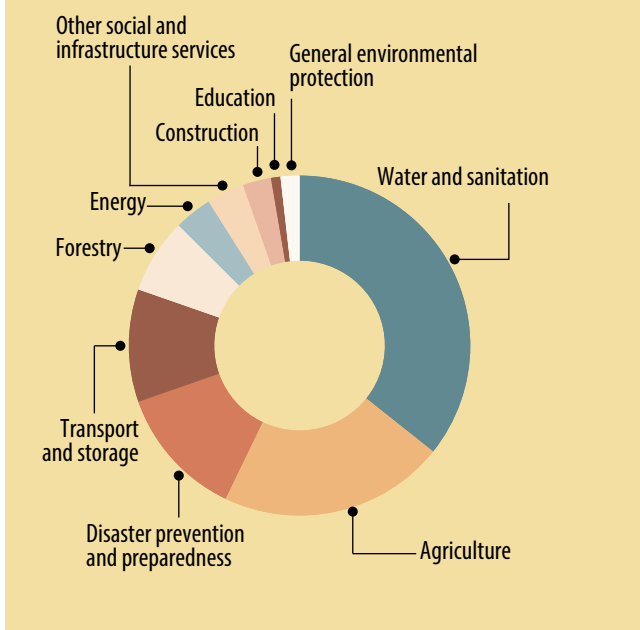
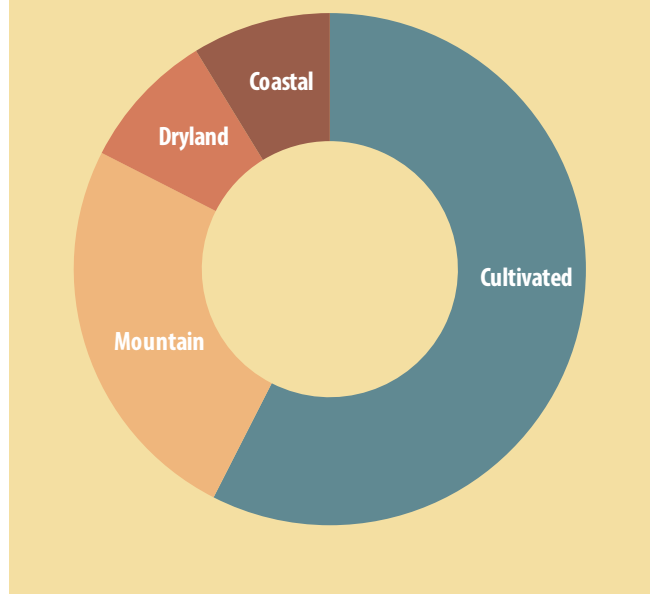


FIGURE 7: LoCAL INVESTMENTS BY ECOSYSTEM, 2016





OUTPUT 2: AWARENESS

PLANS AND BUDGETS WITH CLIMATE CHANGE ADAPTATION ACTIVITIES

Local government plans and budgets with climate change adaptation activities were approved in 46 participating local governments in Bangladesh (3), Benin (6), Bhutan (6), Cambodia (8), Ghana (3), Lao PDR (11), Nepal (8) and Niger (2).

Examples of efforts to inform and integrate climate change in plans and budgets were found in numerous countries.

- In **Benin**, several information and awareness workshops have taken place, including one workshop on lessons learned in which local governments exchanged their experiences with regard to climate change adaptation. Another training for technical staff in participating local governments aimed at improving understanding of existing tools to integrate climate change adaptation into local planning and budgeting processes. Local government staff also benefitted from training on data collection and archiving; this will improve local capacities in monitoring of climate change adaptation-related interventions.
- In **Mozambique**, LoCAL has worked closely with provincial- and district-level technical teams to integrate climate change adaptation into district development plans, thereby improving local capacities with regard to climate change-sensitive planning. A total of 10 districts are now integrating climate change adaptation into their development plans. In addition, 175 national and local-level officials have

Nukufetau Coastal damage from cyclone in Tuvalu; photo: Hendrik Visser © UNCDF/LoCAL

been specifically trained on the integration of climate change adaptation into local planning processes and how to develop local adaptation plans. The methodology for integrating climate change adaptation into local planning processes will be fine-tuned as the programme advances.

- In **Cambodia**, 67 participants from eight target districts benefitted from training on the PBCRG mechanism and received specific instruction on how to conduct PBCRG assessments. A similar workshop with 20 participants was organized in **Bangladesh** in the Boga Union Parishad; here, participants learned about the performance criteria and how to apply them during an assessment.

IMPLEMENTATION OF CLIMATE CHANGE ACTIVITIES

The target for Year 3 was to reach 80 per cent of budget dispersal in the majority (80 per cent) of participating local governments. This target was met and exceeded. As of December 2016, between 94 per cent and 100 per cent of the 2015–2016 budget for climate change activities had been spent in 49 local governments (84 per cent) in seven countries: Bhutan (6), Benin (3), Cambodia (8), Ghana (3), Lao PDR (11), Mali (2), Nepal (14) and Niger (2). Participating governments that have not yet received grants (Tanzania) or that received them in the course of the year (Tuvalu) were excluded from this calculation.

SUSTAINABLE AWARENESS AND ADVOCACY TOOLS

Six **high-level initiatives** were undertaken in 2016 by LoCAL and its participating countries to raise awareness and advocate for the role of local governments in climate change adaptation at the global level.

- In March 2016, the **Special Post-COP21 Meeting: Helping ACP States Implement the Paris Agreement** was held in Brussels, and LoCAL was presented as a proven country-based mechanism to support sub-national governments in LDCs to access climate finance. Specifically, LoCAL was highlighted as a feasible and recommended mechanism available to African, Caribbean and Pacific (ACP) countries to support implementation of the Paris Agreement, especially with regard to increasing the role of sub-national governments in climate change. Follow-up meetings were

Well rehabilitation
in Dogonkyria,
Niger; photo: Nasser
Alqatami © UNCDF/
LoCAL



held with the African Development Bank, which is accredited by the GCF, and the University of South Pacific, which provides technical support to the Pacific region.

- In May 2016, the LoCAL programme was presented at two side events at the **4th International Climate Change Adaptation Conference, Adaptation Future 2016 Practice and Solutions** in Rotterdam. The first side event, New Ideas for Tracking Adaptation Success in Cities, Forests, Water, Finance and National Planning, resulted in a request for a follow-up meeting on potential cooperation with the UNFCCC Adaptation Unit, and an invitation to participate in NAP Expo 2016 in Bonn (see below). LoCAL experiences in Bhutan were presented by the Bhutan delegation in a second side event, Tackling Adaptation, Alleviating Poverty and Inequalities.
- In July 2016, LoCAL participated in the **UNFCCC NAP Expo 2016** in Bonn. It also held a follow-up meeting with the UNFCCC Adaptation Committee, at which it was agreed that LoCAL will work in close collaboration with the Adaptation Unit to review and finalize the unit's workplan, support implementation of the Paris Agreement with the LoCAL mechanism and lessons learned from LoCAL countries, and support development of country NAPs. Moreover, the NAP Global Network agreed to feature the LoCAL mechanism in a guidance note, which was launched at COP22 in Marrakesh. The LoCAL Secretariat also met with the Chair of the LDC Group to the UNFCCC, at which time the Chair confirmed his willingness and ability to become a full LoCAL Board member. It was agreed that LoCAL would feature as a key mechanism for implementation of the UNFCCC LDC Group Three-Year Strategic Plan and that the LoCAL Strategic Plan would be aligned with that of the LDC Group from 2017 onwards.
- In September 2016, LoCAL was presented and discussed at the **EU Global Climate Change Alliance (GCCA+) Global Learning Event, Innovative and Effective Approaches to Climate Change Adaptation and Other Post-COP21 Agreement Priorities** in Brussels. LoCAL was acknowledged as an example of GCCA+ support of local governments in implementing nationally determined contributions. At the end of the learning event, the EU confirmed that LoCAL is one of the key programmes aimed at strengthening local government capacity to increase resilience.
- In November 2016, LoCAL participated in **COP22** in Marrakesh in a number of side events:
 - **NAP Global Network to launch the guidance note on vertical integration in NAP processes.** LoCAL experience and lessons learned in linking national and local government processes was presented. As noted, the LoCAL mechanism is featured in the guidance note.
 - **EU GCCA+ – Experiences and Innovative Approaches to Accessing and/or Mobilizing Climate Change Finance for Adaptation.** As an EU GCCA+ programme, LoCAL was presented as a mechanism to channel climate finance to sub-national governments. In the discussion, LoCAL was recognized as a mechanism to support sub-national governments in implementing their nationally determined contributions.
 - **Sahara and Sahel Observatory, GermanWatch and Adaptation Fund – What Next? Past Experiences and Future Prospects for the Adaptation Fund.** The LoCAL programme was presented as a country-based mechanism to support local governments in accessing climate finance.



LoCAL support in Mohonpur Upazila Rajshahi District, Bangladesh; photo: Cédric Jancloes © UNCDF/LoCAL

- **African Development Bank – Supporting African Countries in Directly Accessing International Climate Funds for Climate-Resilient, Low-Carbon Development.** LoCAL experience in facilitating direct access to the GCF for country members (Benin, Cambodia and Mali) was described. As a result, LoCAL was invited to join the Direct Access to Climate Finance Working Group, initiated by the African Development Bank.
 - **KEI – International Cooperation on Building Capacity for Climate Change Adaptation in LDCs.** Draft LoCAL climate change scientific reports from Bhutan and Cambodia were presented and discussed. More LDCs, particularly LoCAL countries, have expressed their interest in conducting similar activities to support local governments in preparing comparable reports. As a result, the Ministry of Environment of Korea expressed its interest in continuing to support the KEI and LoCAL to scale this activity in more LoCAL countries in all regions.
 - **IIED – Devolving Climate Finance to Reach the Most Vulnerable.** LoCAL–UNCDF and CAF–IIED joint support to Decentralization Climate Finance in Tanzania was presented by the Government of Tanzania (PO–RALG).
 - **UNFCCC High Level Event on the Sustainable Development Benefits of Adaptation in Africa.** This event was chaired by the Special Representative of the LoCAL Board, Luc Gnacadja. The role of sub-national governments in implementing adaptation was discussed, and LoCAL was recognized as a mechanism to support this role.
- In November 2016, LoCAL experiences from Benin, Bhutan, Cambodia and Mali were presented by representatives of each country in the **Climate Summit of the Local and Regional Leaders** in Marrakesh.

LoCAL also focused on raising awareness of the role of local governments in climate change adaptation in participating countries, as well as on strengthening the capacities of participating local governments to deliver climate change adaptation responses through the PBCRG system.

At the national level, the LoCAL programme in **Mozambique** is contributing to enhancing dialogue and coordination between different ministries with regard to decentralized planning and budgeting, and between the national and provincial levels with regard to climate change adaptation issues. Whilst obstacles to effective coordination between the different actors still exist, the programme has helped maintain and enhance regular exchange and contact.

Several LoCAL country programmes have conducted local-level capacity-building initiatives with the local populations to enhance knowledge and awareness of climate change.

- In **Bangladesh**, LoCAL has provided capacity building to climate-induced internally displaced and vulnerable people, providing them with training on climate-adaptive farming, fish culture, vegetable gardening and organic fertilizer production.
- In **Niger**, 15 local government officials were trained on climate change and 50 local residents were trained in phytosanitation, which is expected to benefit local farmers by helping them combat common pests. In addition, LoCAL provided support to train personnel from 10 community early alert and disaster response systems.
- In **Ghana**, 50 people were trained on climate change awareness in 13 selected communities where bush fires are prevalent. Urban, town and area council members also benefitted from training on early warning systems; this will help improve local-level preparedness in the face of climate risks.

INCREASING KNOWLEDGE AND AWARENESS

In 2016, LoCAL completed several communication and knowledge management tasks aimed at **promoting and publicizing the initiative** – and lessons learned – both among its participants and to the broader development/climate change communities.

- Over 20 [articles and stories from the field](#) were developed and shared through the LoCAL website (www.uncdf-local.org) and various social media, with a focus on newer LoCAL countries, and including **Bangladesh, Benin, Lao PDR, Mali, Mozambique, Nepal** and **Niger**.
- The LoCAL **Twitter account** (@UNCDFLoCAL) was launched and already has over 300 followers. Also, the [LoCAL Youtube channel](#) was launched this year.
- A series of assessment reports was developed and launched; the first of these were for **Bhutan** and **Cambodia**. Also launched was the first of a series of [news briefs](#).
- The LoCAL brochure was updated and published in [English](#) and [French](#).

Capacity building in Rokakiri, Cambodia; photo: Vuthy Phan © UNCDF/LoCAL



OUTPUT 3: FINANCE

GRANT DELIVERY

TABLE 1: 2016 DELIVERY OF GRANTS AND TECHNICAL ASSISTANCE BY COUNTRY

COUNTRY	BUDGET (USD)	EXPENDITURE (USD)	DELIVERY AGAINST BUDGET (%)
Bangladesh	50,750	36,988	73
Benin	273,000	274,807	101
Bhutan	42,000	22,944	55
Cambodia	150,245	133,680	89
Ghana	51,000	49,655	97
Lao PDR	928,143	919,857	99
Lesotho	11,774	11,773	100
Mali	222,962	219,638	99
Mozambique	501,320	511,377	102
Nepal	149,400	138,626	93
Niger	200,000	197,872	99
Tanzania	115,000	104,031	90
Tuvalu	239,942	238,535	99
Uganda	40,484	40,483	100
Total	2,976,020	2,900,267	97

In 2016, PBCRGs, operational support and technical assistance totalling USD 2,900,267 was delivered to governments across countries. Details are provided in Table 1. About two-thirds of this support (USD 1,969,921) was delivered through PBCRGs and national operational support (i.e. memoranda of understanding and letters of agreement with country governments). In 2016, LoCAL disbursed its first grants to **Tuvalu**. Details by country and source of funds are provided in Table 2.

The PBCRGs were allocated as described in the respective memorandum of understanding between UNCDF and the government of the LoCAL participating countries. Eligibility for **PBCRG financing** is predicated on local government conformance with a set of minimum conditions verified by the participating national governments before funds are transferred to the local level. For countries in their second or later year of LoCAL implementation, the size of the grants received by local governments was adjusted in accordance with overall performance measures. Once conditions were met, PBCRG funds were transferred through the national fiscal transfer system and were subject to the same financial management, procurement and accounting rules as other government funds.

TABLE 2: 2016 DELIVERY OF PBCRGs AND OPERATIONAL SUPPORT BY COUNTRY AND SOURCE OF FUNDS (USD)

COUNTRY	GOVERNMENT OF LIECHTENSTEIN	EU GCCA+	SIDA BOOSTER FUND	GOVERNMENT OF BELGIUM	UNDP-GEF	TOTAL
Benin			155,973			155,973
Lao PDR					863,143	863,143
Mali		30,805	100,000			130,805
Mozambique				400,000		400,000
Nepal			130,000			130,000
Niger		140,000				140,000
Tuvalu	46,000		104,000			150,000
Total	46,000	170,805	489,973	400,000	863,143	1,969,921

INTERNATIONAL AND NATIONAL FUNDS EARMARKED FOR LOCAL GOVERNMENT USE

In 2016, a number of partnerships under development materialized and participating countries committed domestic resources to LoCAL.

- With EU budget support, the Government of **Bhutan** committed to providing USD 7 million in support of national scale-up of LoCAL, allowing the country to replicate the PBCRG system in 100 gewogs.
- Under LoCAL **Bangladesh**, two agreements were signed – one for USD 4.4 million with the EU GCCA+ and one for USD 4 million with the Government of Sweden – to scale up LoCAL as part of a joint programme with UNDP. LoCAL will be embedded in a new programme, Local Government Initiative on Climate Change (LoGICC), which will provide 75 local governments with access to climate-resilient grants. The programme accounts for USD 20 million, including USD 750,000 in funding from the Government of Bangladesh.
- **Benin** has seen its financing increase to USD 275,000 in Year 2. In addition to this allocation by UNCDF, the programme also benefitted for the first time from an allocation of USD 120,000 from FNEC in 2016. This contribution is set to be complemented by an additional USD 240,000 in 2017, allowing the programme to expand to an additional three local governments.
- In **Cambodia**, the Swedish International Development Cooperation Agency (Sida) committed another USD 1.3 million to support continuation of Phase II, pending accreditation of the Secretariat of the NCDD.

GREEN CLIMATE FUND

LoCAL supported a number of countries in preparing themselves to access international climate finance.

- Following ANICT's nomination as **Mali**'s first national implementing agency to be accredited for the GCF, LoCAL supported ANICT in organizing a national workshop in which 179 people participated to learn about international climate finance, and specifically how the GCF works and what kind of interventions can be financed through it.
- In **Benin** and **Cambodia**, LoCAL coordinated closely with, respectively, FNEC and the Secretariat of the NCDD in pursuing their efforts to be accredited for the GCF, with a view to scaling up LoCAL.
- With support from the LoCAL Secretariat, **Benin**, **Cambodia** and **Mali** initiated a joint effort to prepare and submit proposals (in January 2017) to the GCF featuring the LoCAL approach.

These efforts will serve as models for all other LoCAL countries in unlocking GCF resources for their local governments.

LoCAL beneficiaries in Gaza Province, Mozambique; photo: © UNCDF/LoCAL



OUTPUT 4: IMPLEMENTATION

The **LoCAL Secretariat**, as mandated, has played a critical role in LoCAL's effective deployment across countries and regions, in raising awareness and mobilizing political support from ministries and institutions at the central government level, and in providing technical assistance to the participating countries. The Secretariat also focuses on timely monitoring and reporting, programme management and oversight, resource mobilization, and evaluation and audits.

MONITORING AND REPORTING

In 2016, the Secretariat pursued its work in improving monitoring and reporting processes and ensuring transparent and accountable financial reporting by participating countries; it also sought to ensure alignment across the various levels – local, national and global.

In addition, the Secretariat worked closely with the World Resources Institute to develop a **climate change resilience monitoring and evaluation framework**. As part of its efforts to support the development of this framework, the World Resources Institute undertook field missions in Bhutan, Cambodia and Niger to assess the current situation and needs and to inform framework development at the local, national and global levels. The objective is for each LoCAL participating country to have an adaptation monitoring and evaluation framework for gauging the extent to which the results of the LoCAL programme have contributed to increased resilience. The framework is expected to be ready in 2017 for progressive roll-out in the participating countries.

PROGRAMME MANAGEMENT AND OVERSIGHT

The third **LoCAL Global Programme Board Meeting** was held in April 2016. The Board confirmed Ambassador Masud Bin Momen, Chair of the UN Global Coordination Bureau for LDCs, as Co-Chair of the LoCAL Board, replacing Ambassador Jean-François Régis Zingou. The meeting was attended by representatives of eight LoCAL participating countries – Bangladesh, Benin, Bhutan, Cambodia, Mali, Nepal, Niger and Tuvalu – and UNCDF. Attending partner organizations included representatives from the EU and the Governments of Belgium, Liechtenstein and Sweden; as well as from the GCF, the KEI and the World Resources Institute.

Through a new decision, the LoCAL Board affirmed that **LoCAL's objective is to become a standard, recognized country-based mechanism for LDCs** that supports direct access to the GCF with the aim of transferring resources to local governments through national institutions and systems for building verifiable climate change adaptation and resilience. The Board also endorsed the 2015 progress report and the annual workplan and budget for 2016.

RESOURCE MOBILIZATION

The total budget for the LoCAL global programme is USD 40 million for the five-year period 2014–2018.

Over the 2014–2016 period, LoCAL has mobilized USD 26,075,301 in direct funding and USD 9,485,000 in parallel funding or a total of USD 35,560,301 (Table 3).

The new resources mobilized in 2016 amount to USD 9,750,000 from the EU GCCA+ (USD 4.4 million); Sida/Bangladesh (USD 4 million), Sida/Cambodia (USD 1.3 million) and the Government of Liechtenstein (USD 50,000).

LoCAL donors to date include the EU through the GCCA+ and other funding instruments; Sida; the Governments of Bangladesh, Benin, Belgium, Bhutan and Liechtenstein; the UNDP–Global Environment Facility (GEF); and UNCDF.

ADDITIONAL ACHIEVEMENTS

PARTNERSHIPS AND SYNERGIES

LoCAL collaborates at the global, regional and country levels with various organizations with expertise in the areas of local governance, development and climate change.

- Based on their strong commonalities, the LoCAL **Tuvalu** and **UNDP National Adaptation Programme of Action (NAPA) II** programmes have agreed to collaborate in support of local planning processes and investment plans, institutional strengthening of central ministries for *kaupule* (local government) sector coordination and national scaling-up of PBCRGs to all *kaupules*. Also, with the **Commonwealth Local Government Forum** and the **Secretariat of the Pacific Regional Environment Programme (SPREP)**, LoCAL is exploring options to scale up in Tuvalu and more widely in the Pacific.
- The first draft frameworks were developed in 2016 in **Bhutan** and **Cambodia** in line with an agreement with the **KEI** to support LoCAL countries in developing science-based climate change frameworks. As part of the Bhutan mission, the Department of Local Governance – with support from the UNCDF–LoCAL programme – organized an **experts’ group consultation workshop** on 22 August 2016. During this workshop, the KEI team introduced the purpose of, approach to and process for carrying out assessments of climate change vulnerabilities and risks, and presented information on selecting the main sectors and sub-sectors for assessment. At the outset of the workshop, a short presentation was delivered providing an overview of the LoCAL programme, especially with reference to its strategic components, logical model and implementation approach.
- LoCAL is working closely with the **United Nations Development Programme–United Nations Environment Programme Poverty-Environment Initiative (UNDP-UNEP PEI)** in countries where both efforts are under implementation (e.g. **Bangladesh**, **Bhutan**, **Mali** and **Nepal**). As an example of their collaboration, UNDP-UNEP PEI

TABLE 3: LoCAL GLOBAL PROGRAMME FUNDING SOURCES, 2014–2016

FUNDING SOURCE	TOTAL RESOURCES (USD)
EU Bangladesh	4,400,000
EU Bhutan ²	7,000,000
EU GCCA+	5,452,059
Government of Belgium ¹	1,964,085
Government of Bangladesh	750,000
Government of Benin ²	360,000
Government of Liechtenstein	160,000
Sida/Bangladesh	4,000,000
Sida/Booster Fund	3,260,870
Sida/Cambodia	2,288,287
Sida/PFIS	3,000,000
UNCDF	800,000
UNDP-GEF ²	2,145,000
Total	35,560,301

NOTE: PFIS = Partnerships Framework on Inclusive Growth and Sustainable Development. Details may not sum to total because of rounding.

¹ Provided as direct funding to the country project level (Mozambique) under the LoCAL framework document.

² Funded through parallel budget.



Foot pump,
Boukoumbe, Benin;
photo: Nasser
Alqatami © UNCDF/
LoCAL

and LoCAL Mali organized joint training workshops aimed at supporting two pilot communes in better incorporating climate change in their planning, budgeting, implementation and monitoring tools.

- LoCAL is working closely with the **IIED**, which provides technical support and funding for grants to the **Tanzanian** programme through its Decentralized Climate Finance in Tanzania initiative. The two organizations also work closely in **Mali** where they jointly support ANICT efforts for accreditation as a national implementing entity for the GCF.

GENDER AND THE PARTICIPATION OF VULNERABLE GROUPS

LoCAL recognizes the different ways in which women and men can be affected by climate change, as well as the importance of their particular contributions to solutions. Whilst the specific criteria for the PBCRG system vary from one country to another, a number of LoCAL countries have systems with specific **gender-sensitive** performance measures.

In **Mozambique** for instance, a minimum quota is set for the inclusion of women in the District Consultative Council, which makes decisions about investments to be made within the context of the LoCAL grant. An additional performance criterion requires a minimum of 50 per cent of identified and financed projects to specifically target women's development.

Concrete investments have also been made that target women in particular. In **Niger**, women are the main beneficiaries of a number of investments made during the pilot phase. One project – rehabilitation of degraded land – specifically benefitted women by providing 200 women with temporary jobs in rehabilitating the land and planting new trees. The

project simultaneously reduced the risk of flooding and provided additional income to women and their families. Many of the water projects in Niger also specifically benefit women, as they spend a disproportionate amount of their time each day to fetch water. The rehabilitation of a number of wells through LoCAL has greatly improved access to water and thus reduced the amount of time women have to spend walking to the nearest wells – as these used to be further away.

LESSONS LEARNED

Several lessons, outlined below, can be drawn from LoCAL's experience in pilot countries and in expanding the portfolio to new countries.

- **By being fully aligned with national fiscal transfer mechanisms, the PBCRG system can help strengthen existing mechanisms.** LoCAL funds follow normal public expenditure and disbursement cycles, thereby building confidence in the system and strengthening national capacity. In Benin, for example, the PBCRG system is fully aligned with the country's national investment funds for local authorities. In the long term, this will improve and broaden confidence in the system, thus helping local governments obtain access to global adaptation finance via the national allocation mechanisms, should these be accredited by global climate finance institutions such as the GCF.
- **There is no one-size-fits-all approach to grant size.** The size of the grant must take into account issues of fiscal sustainability and scalability, as well as the absorption capacity of the local governments. These factors in turn depend on local government capacities as well as the national allocation mechanisms, which are thus important criteria to assess in determining the optimal size of the grant. For example, the PBCRG in Mozambique constitutes an average top-up of around 15 per cent.
- **Increasing local governments' capacity in public finance management is essential to ensuring they can meet the minimum conditions of the performance-based grant mechanism.** In Tuvalu, after a series of interventions on capacity building, the local governments (*kaupules*) are expected to meet the PBCRG minimum conditions, allowing them to access LoCAL grants within the next few months.
- **Soft adaptation measures such as awareness raising, training and climate information services account for a minority of LoCAL interventions.** Yet, such measures are crucial in ensuring that climate change considerations are adequately mainstreamed into local planning processes. In Niger, for instance, training local early alert and resilience committees helps boost the local population's knowledge and understanding of climate change adaptation.
- **Strong national and local government commitment to communicating Phase I results to the climate change community increases the chances of a given country's ability to scale up its initiative.** Knowledge sharing and learning as promoted via the LoCAL Board and its members are crucial in highlighting the results and impact of the LoCAL mechanism and can help national institutions access a wider pool of climate financing in the long term through demonstrated programme success. Further, programme implementation efficiency is improved by pointing out what does and does not work in specific circumstances.

FINANCIAL IMPLEMENTATION

Cumulative expenditures from all funding sources **remained stable** between 2015 and 2016 at USD 4,484,321 and USD 4,047,853, respectively. Delivery against the 2016 budget across funding sources was 93 per cent of planned activity (Table 4), which is the same delivery percentage as in 2015.

TABLE 4: 2016 LoCAL GLOBAL PROGRAMME BUDGET AND EXPENDITURES BY SOURCE OF FUNDS

FUNDING SOURCE	BUDGET (USD)	EXPENDITURE (USD)	DELIVERY AGAINST BUDGET (%)
Sida Booster Fund	1,420,450	1,335,941	94
EU GCCA+	966,706	781,877	81
Government of Belgium	501,320	511,377	102
Government of Liechtenstein	51,351	50,005	97
Sida/PFIS	443,920	426,858	96
Sida/Cambodia	33,245	23,652	71
UNDP-GEF	918,143	918,143	100
Total	4,335,135	4,047,853	93

Note: PFIS = Partnerships Framework on Inclusive Growth and Sustainable Development.

Most of the LoCAL budget was allocated to **Output 1** (mainstreaming) activities; these accounted for 79 per cent of the 2016 workplan (Table 5). Delivery against budget for mainstreaming was 94 per cent. The funds actually expended on this output increased slightly over 2015, rising from USD 3,000,052 to USD 3,209,946. Of the 2016 expenditures under Output 1, almost two-thirds (USD 1,969,921) took the form of local government grants.

A combined 15 per cent of the budget was allocated to **Outputs 2 and 3**. This funding largely covered work in the field of knowledge management and communication, awareness raising and country-level support, as well as participation in global or regional events contributing to the international dialogue on the role of local governments in addressing climate change and climate finance.

Costs for programme management (**Output 4**) accounted for USD 245,149 in 2016, reflecting a strong emphasis on the provision of technical assistance rather than administrative support to countries.

TABLE 5: 2016 LOCAL GLOBAL PROGRAMME BUDGET AND EXPENDITURES BY OUTPUT

OUTPUT	2016 BUDGET (USD)	BUDGET ALLOCATION (%)	2016 EXPENDITURES (USD)	DELIVERY AGAINST BUDGET (%)
1: Mainstreaming	3,404,129	79	3,209,946	94
2: Awareness	399,577	10	399,223	100
3: Finance	226,700	5	193,534	85
4: Implementation	304,728	6	245,149	80
Total	4,335,135	100	4,047,853	93

WHAT'S NEXT

CONSOLIDATING THE PORTFOLIO

LoCAL has expanded rapidly since the launch of the global programme in 2014, growing from 2 pilot efforts in Bhutan and Cambodia to 12 participating countries.

In 2017, LoCAL will consolidate its portfolio across local governments in all 12 participating countries. **Bhutan** will implement Phase III in more than 100 local governments with EU budget support; while **Bangladesh**, **Benin** and **Cambodia** will expand through Phase II. **Ghana**, **Lao PDR**, **Mali**, **Mozambique**, **Nepal** and **Niger** will consolidate their work through a second or third cycle of investments in their pilot phase while preparing and mobilizing resources for Phase II. **Tanzania** and **Tuvalu** will each receive and implement their first PBCRG. In addition, designs in **Lesotho** and **Uganda** will be finalized, pending mobilization of resources.

LoCAL will also further its technical partnerships with the IIED, UNDP-UNEP PEI and other in-country partners active in the fields of decentralization and climate change.

ENSURING QUALITY

LoCAL continuously works to improve the quality and relevance of country designs and the ways in which these are deployed. Design testing during Phase I is crucial to ensuring that the system is relevant to both the particular country and local contexts. In 2017, LoCAL will pursue its partnership with the **Korea Environment Institute** to develop science-based climate change reports and accelerate the provision of technical assistance to local governments across countries to undertake robust and scientific local climate assessments to inform local authority planning and investments. LoCAL will also work closely with the **World Resources Institute** to improve the current monitoring and evaluation framework and ensure climate resilience and adaptation lies at its heart.

ENHANCING DIRECT ACCESS

LoCAL is working hard with countries to develop a **standard and internationally recognized country-based mechanism** to channel climate adaptation finance and increase resilience



Participative approach is applied to integrate climate change in local planning processes in Benin; photo: Joel Bekou © UNCDF/LoCAL

at the local level. Local government achievements in the implementation of climate change adaptation activities through the PBCRG mechanism have increased national government trust both in local governments and in the decentralization process. In **Cambodia**, **Mali** and **Tanzania**, the respective national body in charge of decentralization was nominated by its government as that country's first national implementing entity to be accredited for access to GCF resources. In 2017, LoCAL will continue to support these three countries, as well as **Benin**, as they follow through on their accreditation efforts and submit proposals to the GCF's Enhanced Direct Access programme.

LoCAL will continue to work closely with the **UNFCCC LDC Group** to support LDCs in implementing the Paris Agreement, especially in building the capacity of – and advocacy for the role of – sub-national governments in increasing resilience.

The United Nations Capital Development Fund (UNCDF) is the UN's capital investment agency for the world's 48 Least Developed Countries (LDCs). UNCDF uses its capital mandate to help LDCs pursue inclusive growth. UNCDF uses 'smart' Official Development Assistance (ODA) to unlock and leverage public and private domestic resources; it promotes financial inclusion, including through digital finance, as a key enabler of poverty reduction and inclusive growth; and it demonstrates how localizing finance outside the capital cities can accelerate growth in local economies, promote sustainable and climate resilient infrastructure development, and empower local communities. Using capital grants, loans, and credit enhancements, UNCDF tests financial models in inclusive finance and local development finance; 'de-risks' the local investment space; and proves concept, paving the way for larger and more risk-averse investors to come in and scale up.

LoCAL provides a mechanism to integrate climate change adaptation into local governments' planning and budgeting systems, increase awareness and response to climate change at the local level, and increase the amount of finance available to local governments for climate change adaptation.



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