

TAP

Transformative
Actions
Program



TRANSFORMATIVE ACTIONS PROGRAM (TAP)

TECHNICAL GUIDE

JULY 2021

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The purpose of this technical guidance note is to provide technical and practical direction to ensure sound understanding of the TAP and its processes, including the application and scoring procedures. The note also sets out supporting tools with the goal to enable local and regional governments to develop robust project proposals.



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1. PURPOSE OF THE TRANSFORMATIVE ACTIONS PROGRAM

The amount of funding available to local governments is an important determinant of the quantity and quality of services that they can provide. Although in recent years significant strides have been made with regards to availability of climate finance at local level, accessibility of those funds remains limited.

Local governments, particularly in the Global South, have been increasingly facing the rising demands for better and resilient local infrastructure and service provision. However, limited financial resources and competencies remain as the constant challenges. Many infrastructure projects cannot be linked to finance due to a number of reasons such as a lack of bankability, insufficient project development, and high risks. Furthermore, there are limits on the types of international finances that the local governments can access, due to the city's low credit rating and restrictions established by the national government.

The purpose of the Transformative Actions Program (TAP) is to bridge these gaps and increase access to climate finance through diversified sources that will bolster local governments in executing their visions while contributing towards net zero and climate resilient development.

Why to submit?

There are five main reasons that make TAP different from the other Project Preparation Facilities and pipelines:

1. There is **no criteria on the maturity** of the project, early stage projects are also accepted;
2. There is **no criteria on the project size**, meaning that we also accept small scale projects;
3. We offer **project preparation support for all applicants**, including also those projects that are not selected to the pipeline. Every TAP applicant can turn to the help desk with their questions and get access to project preparation tools;
4. We give **customized feedback to every project**, including tailor made recommendations for further improvement;
5. TAP is based on partnership and is acknowledged by several global initiatives, through which **we look for multiple support and financing options** for our projects.



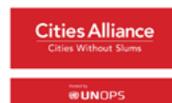
Partners

The ICLEI World Secretariat (ICLEI WS) maintains the partnership and mobilizes new partners, with several discussions underway. Partners include public and private finance institutions, governments at all levels, UN and technical support agencies, city and subnational networks / associations, non-governmental organizations, philanthropic foundations, and initiatives. Each partner defines its own engagement and role in the TAP, in one or more areas across the value chain supporting each step of the project cycle.



TAP partners as of 2021 are:

- bettervest
- C40 Cities Climate Leadership Group (C40)
- Cities Alliance
- European Investment Bank (EIB)
- FELICITY / GIZ
- GIZ/CoM SSA III project
- Global 100% Renewable Energy Platform
- Global Covenant of Mayors (GCoM)
- Global Fund for Cities Development (FMDV)
- Global Infrastructure Basel (GIB) Foundation
- R20 Regions of Climate Action (R20)
- Sustainable Infrastructure Foundation (SIF) / SOURCE
- UN Capital Development Fund (UNCDF) UN-Habitat
- United Cities and Local Governments (UCLG)



2. TAP PROCESS

Figure 1 below gives an overview of the overall TAP process from application to the access of services.

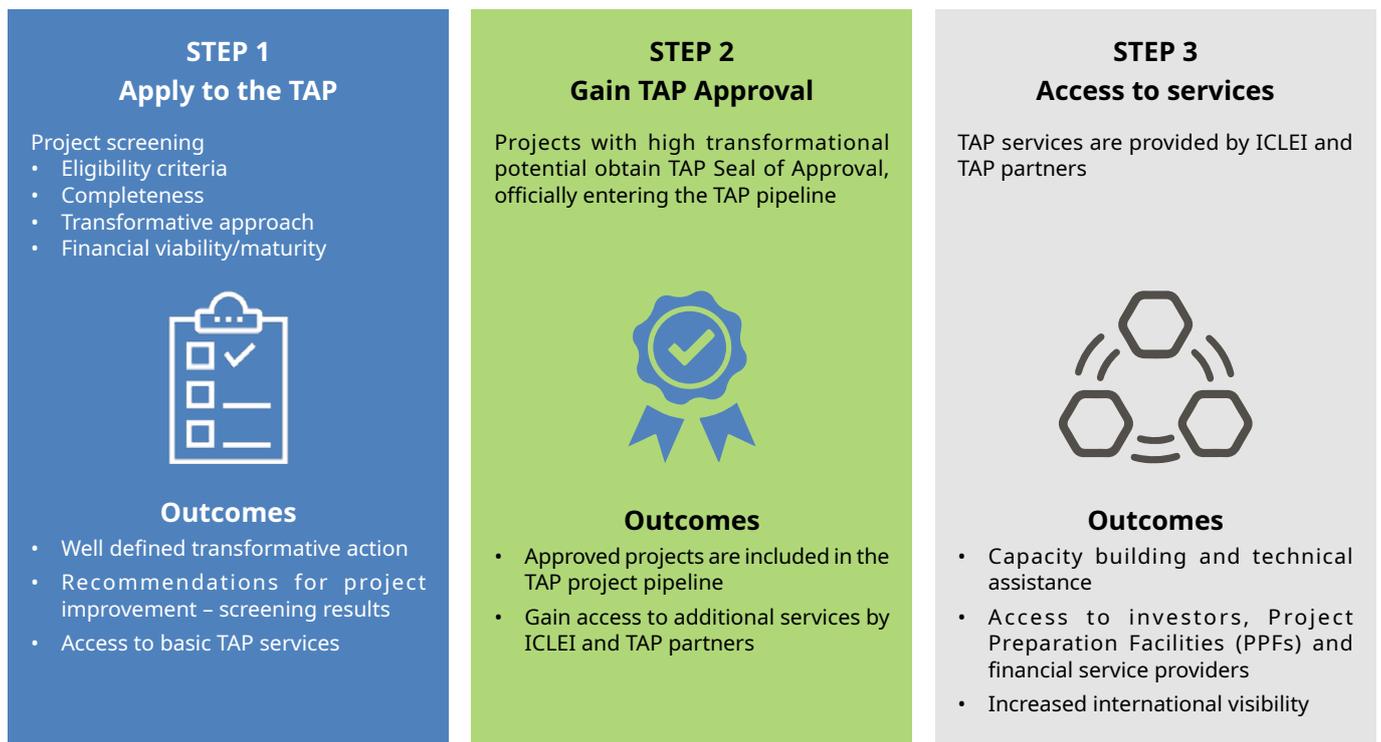


Figure 1 – TAP processes

2.1 Eligibility criteria for TAP projects

Projects applying to TAP have to fulfill the following criteria:

- Submitted by local and subnational governments, or their partners (as long as the local / regional government is a key stakeholder in the project);
- The project has been/ is expected to be discussed and approved in the municipal council or similar level of decision making body and a resolution approving the project has been adopted or is forthcoming;
- Seeks funds for infrastructure investment (excluding the development of plans, educational/awareness campaigns, public policies design, etc.);
- Climate project with the goal to accelerate net zero and climate-resilient development (objectives resulting in mitigation and/or adaptation to climate change activities);
- Shows **transformative** impact potential, divided into the following characteristics:
 - **Ambitious:** mitigate GHGs emissions; increase the ability to adapt to the impacts of climate change; foster climate resilience; support local and national sustainable development priorities (specifically SDGs 11 and 13);
 - **Cross-cutting:** population calculated to be benefited and potential scaling opportunity to reach more people; optimization of the local resources use; multiple sectors considered, using an holistic and integrated approach;
 - **Inclusive:** local and regional governments' coordination to ensure project co-design; engage communities, citizens and local stakeholders; demonstrate benefits for gender, youth and vulnerable communities.



As mentioned above, there is no criteria regarding the size nor the maturity of the project. We equally accept projects at the scoping phase or ready to be implemented. The objective is to work together with a wide range of financial institutions and project preparation facility (PPF) providers, each having different benchmarks.

2.2. Application process

Applications can be submitted through annual open calls. When the call is open, interested candidates first have to register on the [TAP website](#) to get access to the application form where a dedicated “Apply” page is added.

After registration the application form (see **Annex I “TAP application form”**) can be downloaded.

The application form is available in English, French, Spanish and Portuguese and has two parts:

1. harmonized questions also used by other [Cities Climate Finance Leadership Alliance \(CCFLA\)](#) members
2. set of questions with a focus on projects transformative, resilience impacts and Covid-19 recovery responses.

When filled out, applications shall be sent to the tap@iclei.org email account.

2.3. Screening process

Once ICLEI WS receives the application forms, the screening process starts with a first review to confirm that the eligibility criteria are met, all questions are answered, and all required supporting documents are attached (e.g. letter of support from the local government, studies or reports). In case of missing items, the applicant receives a notification and the screening continues after clarification questions are answered and the application form is complete.

As a next step, a second stage of screening is done by ICLEI WS with the purpose to ensure that the project fulfills the criteria for being "transformative" as described above. The scoring goes from 0 to 100 percent and projects scoring higher than 80% can bear the TAP Seal of approval and become part of the project pipeline.

Pipeline projects are then further grouped based on their financial viability and ability to access international finance.

Figure 2 explains each step for the screening process:

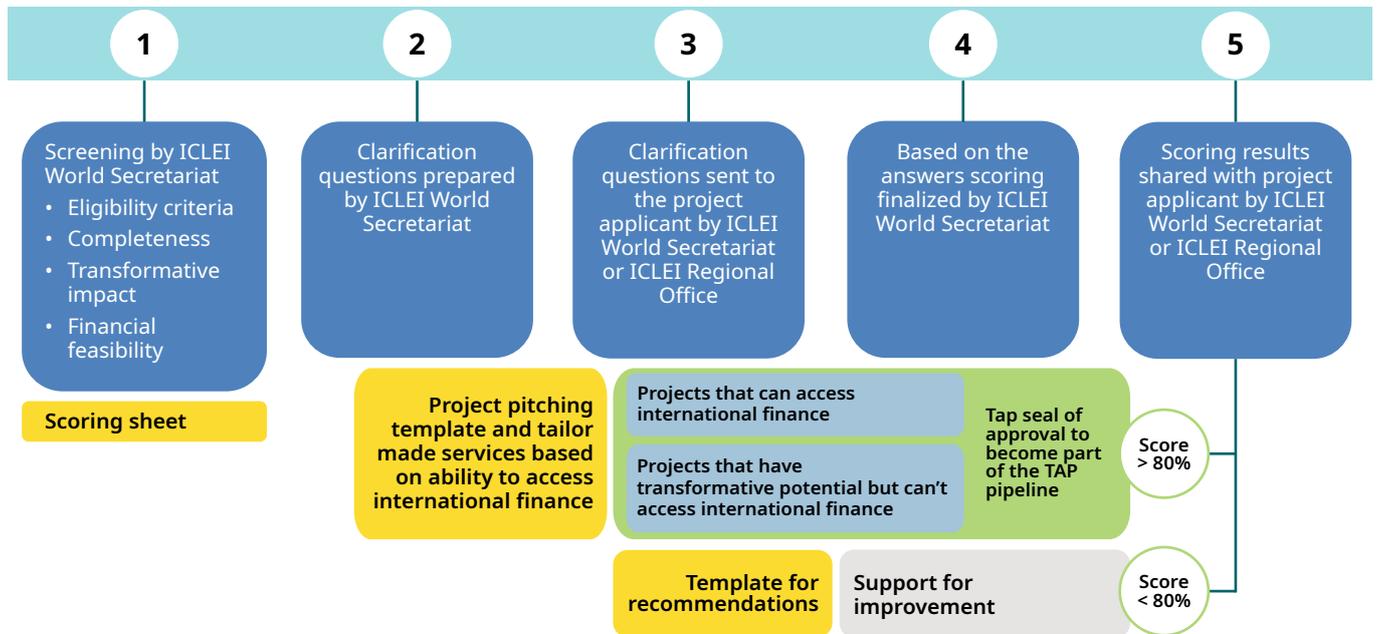
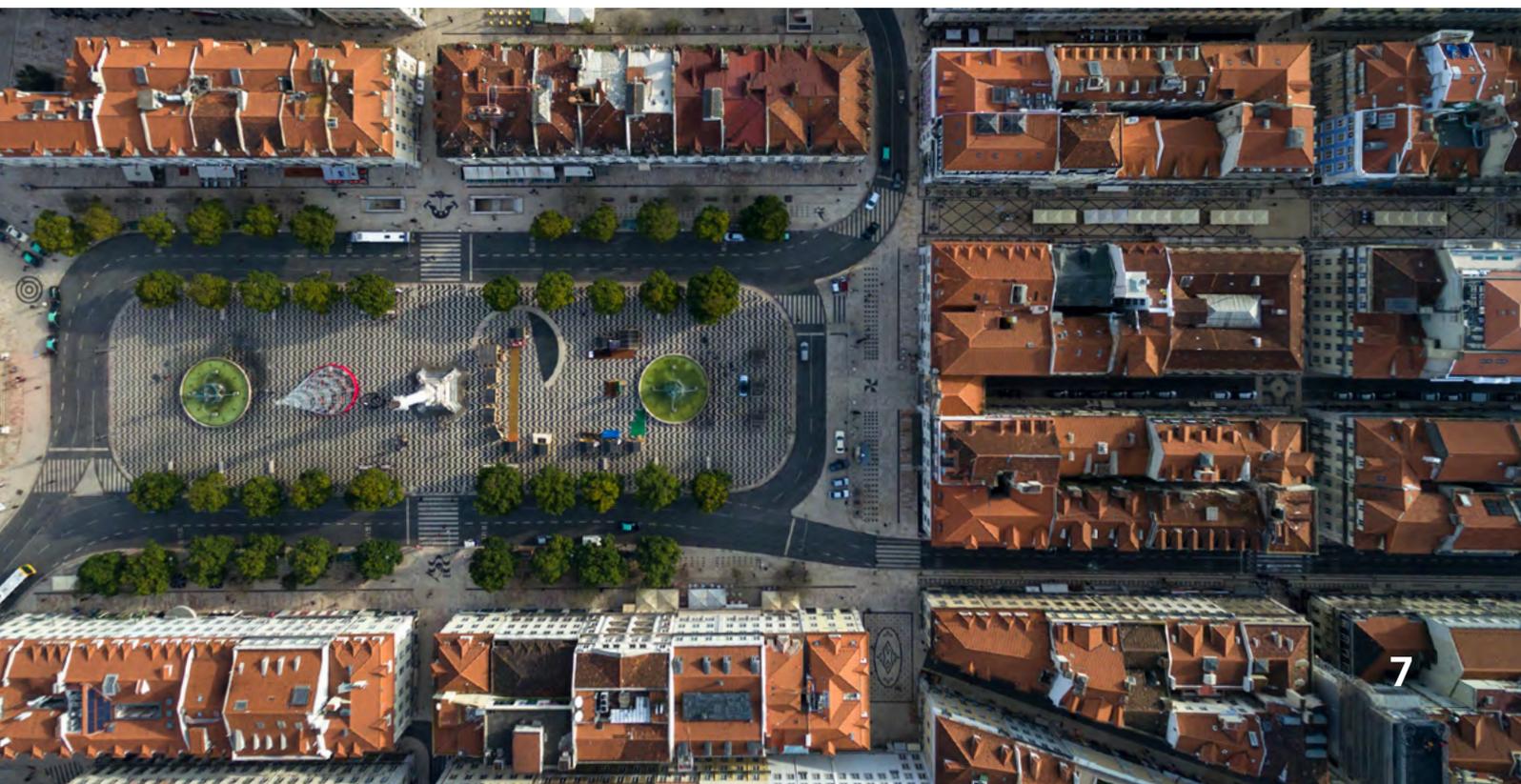


Figure 2 – TAP screening process



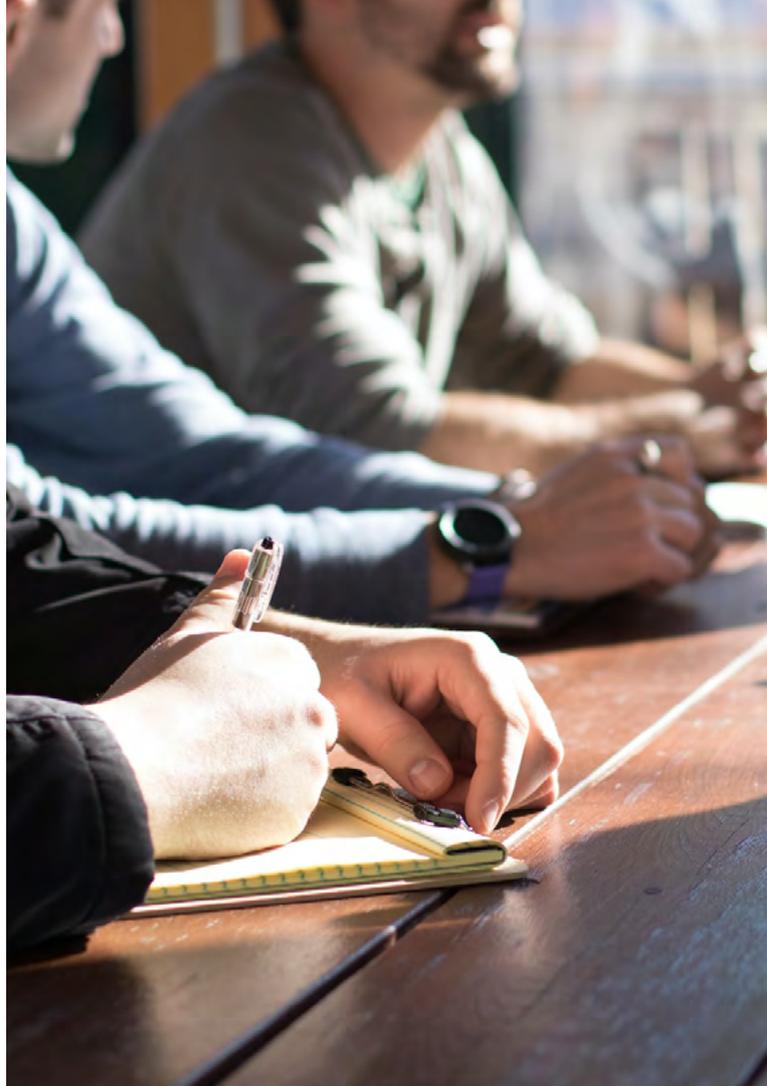
3. TAP SERVICES

Regardless of the quality of the application **all TAP applicants** are entitled to access to basic services provided by ICLEI and its partners:

- Access to knowledge products
- Invitation to webinars
- Benefit from peer-learning and knowledge exchange workshops
- Information on calls and funding opportunities
- Customized feedback with recommendations*

** The depth and the type (written or in person) of the feedback depends on the agreement with the respective regional office and/or project obligations. If there is no specific agreement, ICLEI WS prepares its recommendation using a standardized template for projects that score at least 60%, but are lower than 80%. The feedback focuses on the transformative impact potential of the project.*

Based on their ability to access international finance, projects that are part of the pipeline can access to additional TAP services:



Able to access international finance	Not able to access international finance
Connection with international financial institutions, climate funds and project preparation facilities (PPF) providers	Assessment of country context and connection with national/regional financial and technical partners, project preparation facilities (PPF) providers
Participation at international marketplaces and pitch events (supported by Pitch template and prior preparation)	Participation at national marketplaces and pitch events (supported by Pitch template and prior preparation)
Advice and light support on applications for international finance opportunities	Advice on potential financial models that use own and national resources/private finance
Access to resources that are developed by the ICLEI WS and regional offices	
Case studies of successful projects to be published at https://tap-potential.org/case-studies/	

Note: The provision of services depends on funding available.

4. SUPPORTING TOOLS

In order to support applicants to strengthen their applications, ICLEI provides several knowledge products related to project preparation (all contained in the following [link](#)).

TAP Finance Toolkit

The Finance Toolkit was released at COP 25 in December 2019 and since then it has been growing and is regularly updated. As of today, it consists of six parts:

1. Climate finance [interactive decision making tree](#), which guides local and regional governments through a series of yes and no questions to consider different financing tools. This kit is available also in French, Spanish, Portuguese and Chinese.
2. [Climate Finance Glossary](#), which is a collection of essential terms and definitions used in international climate finance, financing mechanisms and finance in general.
3. [Climate Finance Opportunities](#), is a catalogue of opportunities that features financial institutions and other actors that have programs and initiatives which support local and regional governments in their project preparation and implementation.
4. [Climate Finance Reports and Tools](#), an inventory of studies, reports, guidance and toolkits, which includes links to various knowledge centers and learning platforms.
5. [Bankability Checklist](#), a set of assumptions to verify in order to achieve a successful application.
6. [Successful local government fundraising and project pitching](#), provides practical advice for fundraising and project pitching using the Brasilia case.



APPLICATION FORM

*Developed jointly by the
Cities Climate Finance Leadership Alliance Project Preparation Action Group*

PROJECT NAME: *Rehabilitation of the wastewater treatment plant “...” and provision of sustainable and safe sanitation services in poor communities near the river “...” in “name of the city”.*

LOCATION: *Name of local or regional government, Country name*

APPLICATION SUBMITTED BY

NAME: *“XY”*

TITLE: *Director of...*

DEPARTMENT: *Municipal office for water sanitation and distribution of “...”*

CONTACT DETAILS: *e-mail address and optionally phone number*

IS YOUR ORGANISATION AND DEPARTMENT RESPONSIBLE FOR THE PROJECT?

Yes, it is responsible for the project.

IS THE PROJECT INCLUDED IN RELEVANT PLANS SUCH AS LOCAL DEVELOPMENT PLAN, URBAN DEVELOPMENT PLAN; CLIMATE ACTION PLAN; OR ANOTHER RELEVANT PLAN?

Demonstrate that the project is specifically mentioned in the climate change strategy, resilience strategy, action plan, incorporated into the city’s master plan or other document with comparable objectives.

Highlight if the project is also a priority for the national government and is acknowledged by a National Development Plan, National Adaptation Plan or similar.

Yes, at the national level, the “name of country” “.....” Strategic Plan/National Development Plan, etc., acknowledges the need to revitalize and upgrade the water services in the “name of local or regional government/county or region”.

In addition, the National Policy for integrated water management through its fifth objective “Improve the quality and reduce the pollution of the water” considers “... to attend to the main causes and sources of water pollution by incorporating new technology for the treatment of drinking and wastewater” (strategy 4.2).

At the regional level, the “name of region” Development Strategy 2017-2025 proposes an upgraded water sanitation system that should be developed in all local governments with a population of more than 100 000, such as “name of local or regional government/county or region”, including the revitalization of existing infrastructure and improvement the connectivity and access to water sources in the area and sanitation services.

The “name of local or regional government/county or region” has approved the action plan to improve water management services.

PROJECT DESCRIPTION

1. What infrastructure sector(s) will the project cover?

- | | |
|--|---|
| <input checked="" type="checkbox"/> Climate Change Adaptation and Resilience | <input type="checkbox"/> Transport and Mobility |
| <input checked="" type="checkbox"/> Energy Efficiency | <input checked="" type="checkbox"/> Renewable Energy |
| <input type="checkbox"/> Land-Use and Nature-Based Solutions | <input checked="" type="checkbox"/> Water, Sanitation |
| <input checked="" type="checkbox"/> Low-Carbon Technology | <input type="checkbox"/> Waste |
| <input type="checkbox"/> Public and Green Spaces | |

2. Does this project primarily focus on adaptation or mitigation to climate change?

Urban climate mitigation is defined as projects and interventions contributing to reducing or avoiding GHG emissions from sources located within a city’s boundaries or for those produced as a consequence of activities occurring in the city exclusively.

Examples of climate mitigation activities are technological energy efficiency improvements in buildings and wastewater treatment facilities.

Urban climate adaptation refers to projects and interventions that aim to maintain or increase the adaptive capacity and resilience of cities and urban communities in response to climate-related risks affecting cities directly.

The project addresses both adaptation and mitigation to climate change:

The project seeks to optimize wastewater treatment plant operation to achieve climate mitigation by reducing GHG emissions. This optimization is to be done by recovering energy from the treated wastewater, thus reducing the overall plant’s energy requirement. In addition, the local/regional government will reuse the treated water for non-potable uses within the city (i.e., crop irrigation, irrigation of urban green spaces, etc.). The reuse of treated water will ensure fit-for-purpose water use and ultimately reduce the amount of freshwater consumed at the local/regional level. Thus reducing the pressure on freshwater resources and ultimately reducing the energy needs to treat, pump and distribute freshwater. Water reuse will reduce the indirect discharge of untreated wastewater significantly, thus reducing the indirect GHG emissions.

It also aims to strengthen the WWTP operations to ensure its operation without disruption during extreme climate events (i.e., rainfalls and storms), thus increasing the resilience of city inhabitants.

3. What is the current stage of the project?

Based on the categorization below

- *Project identification (Scoping): A project concept is available. The city has outlined the scope of the intended project and identified proposed objectives, imminent risks and alternative scenarios.*
- *Pre-feasibility: A pre-feasibility study and/or a budget calculation, environmental assessment are available.*
- *Feasibility: The city has investigated and determined (or is in the process of investigating) the feasibility of the project.*
- *Pre-implementation: All necessary technical and financial studies and the procurement plan are ready or are very close to final design. The city has developed a detailed project.*

- | | |
|--|---|
| <input checked="" type="checkbox"/> Concept/design/scoping | <input type="checkbox"/> Pre- implementation |
| <input type="checkbox"/> Pre-feasibility | <input type="checkbox"/> Implementation |
| <input type="checkbox"/> Feasibility | <input type="checkbox"/> Don't know/not clear yet |

4. When is the project expected to start operating?

Specify year and quarter if possible.

In Q1 2023, depending on the readiness of pre-feasibility and feasibility studies.

5. What kind of support are you seeking with this application?

- | | |
|---|---|
| <input checked="" type="checkbox"/> Capacity building | <input checked="" type="checkbox"/> Investment finance, including connecting with private investors |
| <input type="checkbox"/> Creation of partnerships | <input checked="" type="checkbox"/> Project structuring |
| <input type="checkbox"/> Development of business case | <input checked="" type="checkbox"/> Technical assistance to support project definition |
| <input checked="" type="checkbox"/> Highlighting project to private investors | <input type="checkbox"/> Others: |

6. Please provide a short description of the project identifying the scope and objective of the project and anticipated outcomes (500 words max)

Please provide a short description of your project, including (max 500 words):

(i) Scope of the project

(ii) Objectives: What is the main purpose of the project in terms of functionality (problems solved and services to be provided)?

(iii) What are the expected impacts? (Detail projected qualitative and quantitative results).

In the region “...” there are two challenges in the sanitation sector:

Overloading and Poor functionality of the WWTP (built in 2002) in the southern zone of the city “...” due to inappropriate technology selection, old and energy-intensive technologies, poor design, low operation and maintenance (O&M) capacities, high O&M costs, pump failures, etc. The underlying causes for this challenge are lack of finance, inadequate knowledge and lack of skills and plans for O&M.

Insufficient sewerage systems are leading to low access to sanitation services in slums that are established near the river “...”.

The local government uses combined sewers for sewerage and stormwater collection. The existing WWTP has a limited capacity of receiving 5,427 m³/day. Thus its treatment effectiveness is reduced mainly during the rainy season, as the WWTP receives more inflow than it can withstand. This vulnerability to overloading is increasing with climate change impacts such as storms and rainfall, where flooding and sewer overflow cause temporary cessation of operation and damages to infrastructure. In addition, the GHG Emissions Inventory has identified the wastewater treatment sector as one of the significant emissions contributors. This plant is crucial to treat urban wastewater before it is discharged into the river; however the project is an opportunity to reuse the treated water. Furthermore, the poor communities with no access to sanitation services are discharging their wastewaters directly into the river or on the streets, which significantly increase the risk of waterborne infections. Both challenges are heavily deteriorating the river and its adjacent ecosystems.

The project aims to:

- 1. Rehabilitate and increase the operational capacity of the WWTP and improve access of the poor communities in the southern part of the city to safe, reliable, and sustainable sanitation services.*
- 2. Introduce an efficient process for energy recovery from the wastewater treatment process.*
- 3. Reuse treated wastewater for irrigation purposes in urban areas.*

Specific objectives:

- To increase the capacity of the WWTP “...” and construct a sewage network in poor communities near the river “...”.*

Increase the operational capacity to treat municipal sewage from 80 l/s to 200 l/s, reach an annual installed capacity of 1,759.00 l/s), and provide sewage services to 150,000 people. Increasing the coverage area of wastewater treatment by 25% will reduce indirect GHGs emissions from direct discharge of untreated sewage.

- To improve WWTP energy efficiency.*

By installing highly efficient pumps, replacing motors and aerators, among other technical modifications, the energy consumption will decrease in approx. 45% (around 76% in CO₂-eq per year).

- To increase biogas production to reduce the electricity consumption of WWTP by 35%.*

The installation of the infrastructure to conduct the anaerobic conversion of organic materials to produce biogas is needed (reducing the emissions of 462 tn CO₂-eq per year from the conventional energy consumption).

- To identify the best-integrated control and operational strategies to be applied in each process of the WWTP to reduce GHG emissions and be more efficient.*

Optimization of the operation of the primary sedimentation, activated sludge tank, anaerobic digester, to reduce at least 35% of the CO₂-eq emitted (approx. 12 tn CO₂-eq per year).

- *To design the necessary infrastructure to prevent flood and sewer overflows damages to the plant. By installing an emergency backup generator, additional tanks, and the elevation of walls, channels, and motors.*

TRANSFORMATIVE IMPACT AND ADDITIONAL BENEFITS

7. Does the project have additional co-benefits or expected environmental and socioeconomic impacts? Please include benefits expected in one or more of the categories below (300 words max)

Typical benefits:

Air quality and pollution reduction, Biodiversity, Education, Energy access, Hygiene and sanitation, Inclusion and inequality reduction (including gender, informal workers, other vulnerable groups), Increased local business opportunities, Improved safety, Job creation, Water security, Other

Try to quantify as much as possible. For example:

- *Jobs impacts from climate actions (e.g. number of jobs created from climate actions)*
- *Health impacts from climate actions (e.g. number of residents enjoying improved air quality)*
- *Safeguarding impacts from climate resilience actions (e.g. percentage of the population safeguarded against climate hazards)*
- *Business impacts from climate actions (e.g. number of local small and medium-sized enterprises (SMEs) benefiting from climate action)*

Environmental benefits, Pollution reduction, and biodiversity protection:

About 75 million m³ of untreated water will no longer be discharged to the river per year, thus contributing to environmental protection. approx. 974 kg/1000m³ dry solids content in the wastewater will be removed and treated, preventing soil contamination and reducing air pollution. It also prevents further eutrophication of the river.

The treatment of the 100% of the water received by the plant, as well as ensuring its operation during extreme climate events, the discharge of wastewater that does not meet the official standards to the river will be eliminated (discharge of approx. 1, 452 l of untreated water per day during a flood).

Hygiene and sanitation: with the canalization of wastewater through a proper sewage system, living conditions will improve. The cases of gastrointestinal infections are expected to be reduced by more than 75%, as well as other waterborne diseases.

Inclusion of vulnerable communities and local business opportunities: the canalization will focus on slums and will ensure vulnerable communities have access to sanitation service (treatment of approx. 643 l of wastewater per day from those slums). The expected total number of direct beneficiaries is 150,000, including X84,000 women.

Water security: it is expected the treatment of 100% of the wastewater collected by the plant and its operation throughout the year, as well as the treatment of approx. 643 m³ of wastewater per day from slums. Reusing the treated water contributes to water security.

8. Are the mitigation/adaptation benefits of the projects already quantified? (i.e. is there an estimation of projected volume of GHG emissions reduced/avoided/ sequestered per year/in total? How many people are expected to benefit from the project). If so, please elaborate (150 words max)

Do you have a GHG emissions reduction target(s) in place at the local/regional government/sector level?

Do you have a GHG inventory?

If the project does not have a specific study on mitigation/adaptation benefits quantified, a suggestion is to use literature review that present estimates of CO₂ mitigation/sequestration and present a calculation for the project.

Typical protocol, standard, or methodology to calculate GHG emissions:

- *[Global Protocol for Community Greenhouse Gas Emissions Inventories \(GPC\)](#)*
- *[International Standard for Determining Greenhouse Gas Emissions for Cities \(UNEP and World Bank\)](#)*
- *[2006 IPCC Guidelines for National Greenhouse Gas Inventories](#)*
- *[U.S. Community Protocol for Accounting and Reporting of Greenhouse Gas Emissions \(ICLEI\)](#)*
- *Regional or country specific methodology*
- *City specific methodology*

In case you don't have an emission reduction target also explain why:

- *Emissions not fully calculated*
- *Not intending to set a target*
- *Lack of resources*
- *Lack of available data*
- *Policies/projects prioritized over target setting*
- *Target is set at regional level*
- *Target is set at national level*
- *Target is in development*
- *Target already achieved*

Since the technology to be implemented is not yet defined, there is not a specific calculation; however, the WWTP "... " is currently releasing 35 tn CO₂-eq per year. With the project it is expected the reduction of at least 35% of those emissions (approx. 12 tn CO₂-eq per year). Regarding energy consumption, using biogas approx. 462 tn CO₂-eq per year will be reduced.

In addition, it is also important to mention the reduction of GHG emissions from untreated sewage, which has not been quantified for now.

At the moment, the population in the slums without canalization and proper sewage services is approx. 150, 000 people, but the WWTP "... " being one of the two WWTP in "...", so the whole population of "... " will benefit from this project.

9. Is the project scalable and/or replicable? Please explain how (250 words max)

Scalable: budgetary, geographically, bundling with other projects

Replicable: local/regional/national level or in another country

Considering that the technology to be implemented is new in the country, the project can be replicable in terms of using the same technologies to reduce GHG emissions in other WWTPs located in the state and the country.

Regarding scalability, the installation of sanitation systems could also be implemented in other slums near to both WWTPs. There are several poor communities without sanitation services in the region, and they are increasing as long as the peri-urban areas have been growing.

PRELIMINARY STUDIES

10. Are there any technical studies available for the proposed project or other ongoing or concluded studies and/or projects that are relevant to this proposal?

Yes No

Attached documents Yes

Please list title of the documents

1.
2.

11. Are there social, environmental, or economic impact or risk assessment studies already done that would be relevant for this project?

Yes No

Attached documents Yes

Please list title of the documents

1. *Water sanitation strategy 2005-2025.pdf: projections about the lack of water sanitation services in "...", showing the vulnerability of the communities in the "...” region.*
2. *"..." Report (2018).pdf: on future climate variability in the region: estimation of future scenarios of droughts and other climate variations in "...”*
3. *Marginalization index (2020).pdf: conducted by the National Population Council.*
4. *Climate change risk and vulnerability assessment (2019)*

FINANCIAL RATIONALE

12. What is the estimated total cost of the project? (please indicate the currency)

X,XXX,XXX €

13. Does the project have a secured budget (total or partial) to be implemented? If yes, what is the percentage secured budget for this project? Is this budget integrated in an Investment plan (Municipal, Regional or National)?

Financing		Fiscal Year
Financing Source	%	
Local Government Budget	25%	2022
National Government Budget	0	
Others	0	

14. May the project submitter borrow or mobilize external private resources for this project?

To answer this question, please consider:

- *Is the local government (LG) able to enter into contracts that are longer than 3 years with the private sector?*
- *Does the LG want to engage the private sector partner to deliver public services?*
- *Is the LG able to enter into a Public-Private Partnership?*
- *Is the LG able to borrow? If so, please clarify the limitations and conditions (e.g. prior approval from higher tiers of government required for borrowing).*
- *Does the LG have an asset/land to be sold or leased?*
- *Does the LG have a creditworthiness assessment/credit rating (e.g. PEFA rating)?*

If the answer is yes, please give some details: how recently was it done? What was the scale/magnitude of the project and borrowing that was mobilised? What type of contract or external funding mechanism was used to access these additional financial resources?

Yes, the municipality has the capacity to enter into contracts with the private sector for the provision of sanitation services, construction of infrastructure, etc., but has not yet been explored.

Has it been done successfully before?

Yes

No

PLEASE INCLUDE A LINK TO ANY RELEVANT DOCUMENTATION OR PREVIOUSLY UNDERTAKEN STUDIES TO SUPPORT YOUR APPLICATION

1. link and name of document...

2 link and name of document....

AUTHORISATION FOR SHARING: This questionnaire was jointly developed by the Cities Climate Finance Leadership Alliance (CCFLA) Project Preparation Action Group. In case the Transformative Actions Program (TAP) is not able to select your project, or sees any potential opportunities for the project for support, do you authorise that the TAP team shares this and any other supporting document with other Project Preparation Facilities (PPFs) and organisations that are members of the [Cities Climate Finance Leadership Alliance](#) for the purposes of advancing your proposed project?

Yes

No

ADDITIONAL QUESTIONS FOR TAP APPLICANTS

A. GENERAL PROJECT INFORMATION

1. Type of organization leading as project submitter:

- Local government Non-governmental organization (NGO)
 Regional government Private company
 Government owned company Other:

2. If your organization is not the lead, list the name of the entity/ organization responsible for managing the project.

NA

3. Do you have a support letter from the local/regional government concerned by the project? If yes, please attach to your application

- Yes No

4. Has the project been/ is expected to be discussed and approved in the municipal council or similar decision making body that ensures political commitment?*

- Yes; Date: No

5. Is a resolution or similar legally binding proof approving the project at local level has been adopted or is forthcoming? Please attach.*

- Yes No

** please note that these are prerequisite criteria to be eligible for TAP*

B. TYPE OF SUPPORT SOUGHT

6. Considering the recent stage of your project, how can TAP support you the best? Please tick

- Connection with international financial institutions, climate funds and project preparation facilities (PPF) providers*
- Assessment of country context and connection with national/regional financial and technical partners, project preparation facilities (PPF) providers
- Participation at international marketplaces and pitch events*
- Participation at national marketplaces and pitch events
- Increase international visibility (events, case studies)
- Advise on financial models using own and national sources/private finance

- Support with getting national government/focal point endorsement for the project
- Other:

** only if the project is eligible for accessing international financial support*

7. What is the type of finance sought for the project?

To answer this question consult the [Climate Finance Decision Making Tree and Guidance](#).

- | | |
|--|--|
| <input checked="" type="checkbox"/> Grants | <input type="checkbox"/> Private investment |
| <input type="checkbox"/> Loans from commercial banks | <input type="checkbox"/> Public finance- own budget |
| <input type="checkbox"/> Bonds | <input type="checkbox"/> Public finance- national government |
| <input type="checkbox"/> Loans from International Financial Institutions | <input type="checkbox"/> Other: |

C. ADDITIONAL QUESTIONS ON TRANSFORMATIVE IMPACT AND BENEFITS

Ambition

8. Which United Nations Sustainable Development Goals (SDG) does the project address? Explain and quantify.

Please, use as a reference the information contained in the following [link](#).

- Goal 1: Zero Poverty
- Goal 2: No Hunger
- Goal 3: Good health and well-being *The new sewage system and its canalization into the WWTP "... will contribute to decrease diseases caused by the discharge of waste water on the streets.*
- Goal 4: Quality education
- Goal 5: Gender equality
- Goal 6: Clean water and sanitation *The newly built/upgraded infrastructure will increase the accessibility to water sanitation services through proper sewage systems that at the same time will increase the resilience of vulnerable communities to floods. The wastewater treatment will ensure compliance with quality standards to be discharged in the river "...".*
- Goal 7: Affordable and clean energy
- Goal 8: Decent work and economic growth
- Goal 9: Industry, innovation and infrastructure
- Goal 10: Reduced inequalities *Vulnerable communities accessing to water sanitation services will reduce the inequalities*

- Goal 11: Sustainable cities and communities *The project will ensure access for all to adequate, safe and affordable water sanitation and basic services and upgrade slums and neighboring rural areas*
- Goal 12: Responsible consumption and production
- Goal 13: Climate action *The project incorporates elements to reduce at least 50% of the GHG emitted by wastewater treatment, as well as the pollution emitted by untreated wastewater. It also incorporates infrastructure to increase resilience for climate change adaptation.*
- Goal 14: Life below water
- Goal 15: Life on land
- Goal 16: Peace, justice and strong institutions
- Goal 17: Partnership for the goals

9. What is the number of the total population of the city/region?

2,564, 252 inhabitants

How many people will benefit from the project?

The “...” being the second WWTP in “...”, the whole population of “...” will benefit from this project.

10. Has a holistic approach been considered to add value to multiple sectors in the project design (e.g. waste to energy, reusing organic waste as compost with a business model considered)? If yes, please specify.

By improving the capacity of the WWTP, the project could have a positive impact on the agricultural sector by using the bio-solids removed in the treatment process as organic fertilizer. Specifically for some farmers, the river represents a source for irrigation water; in this sense, improving the quality of the discharges of treated water into the river represents an improvement of the agricultural products (reducing the presence of pathogens in the irrigation water). It results in a reduction in gastrointestinal diseases from consumption of contaminated agricultural products.

Last but not least, biodiversity will be positively impacted through the reduction of the pollutants into the ecosystem and also in the surrounding environment (e.g. farm communities).

Risks and vulnerabilities

11. What are the main risks and vulnerabilities this project will help to prevent and respond to?

Consider:

- *Health crisis/pandemics*
- *Natural disasters*
- *Economic crisis*
- *Man- made disasters*

Current and expected hazards	Intensity	Frequency	Timescale
<i>Storms and rainfall (floods and sewer overflows)</i>	<i>Medium-high</i>	<i>4 events</i>	<i>Annually</i>
...

12. Do you see any risks that might emerge while conceptualizing or implementing your project other than climate risks? (e.g. disruption in stakeholder engagement, political changes) Please explain including the measures you plan to use to mitigate them.

To answer this question in addition to what is listed above, please consider:

- Financial barriers / lack of funding
- Institutional / regulatory barriers
- Extension of COVID-19 situation
- Land acquisition or land - use restrictions
- Potential negative impacts on cultural heritage

The next elections will be held in 2023. In case the project doesn't start by then, in order to mitigate the risk of a potential political change, we would like to ensure that the project is strongly supported by the community.

Expected enhanced resilience impacts

13. Does the project strengthen urban resilience to current and anticipated future climate and other risks? Tick as relevant:

- | | |
|---|---|
| <input type="checkbox"/> Increased access to sustainable food | <input type="checkbox"/> Improved transportation system |
| <input type="checkbox"/> Increased access to sustainable energy | <input checked="" type="checkbox"/> Increased access to sustainable housing |
| <input type="checkbox"/> Increased access to sustainable mobility | <input checked="" type="checkbox"/> Increased access to water /sanitation |
| <input type="checkbox"/> Improved access to education services | <input type="checkbox"/> Increased digitization and access to internet services |
| <input type="checkbox"/> Improved supply chain security | <input type="checkbox"/> Increased public access to greenery |
| <input type="checkbox"/> Improved land use practices | <input type="checkbox"/> Incorporates nature-based solutions |
| <input type="checkbox"/> Improved biodiversity | <input type="checkbox"/> Raises climate ambitions and reporting |
| <input type="checkbox"/> Improved disaster risk management | |

Covid-19 response/green and just recovery/ resilience benefits

14. How does the project strengthen urban resilience and incorporate COVID-19 response?

- Rescue:** Dealing with the most direct and time sensitive situations in terms of emergency response. *The provision of services such as sanitation is fundamental to protect the population during any infectious disease outbreaks. In particular, the project protects vulnerable groups, who are the most affected type of the population due to the current pandemic.*
- Response:** Enhances the capacity for immediate reaction of the responsible authorities. *By having more infrastructures, authorities have more tools to act quickly in an emergency situation.*
- Recovery:** Identifying investments which can be implemented relatively quickly, create jobs, have high multipliers, and contribute to emissions reductions / resilience.
- Long-term resilience:** Supporting a sustainable and resilient economic transformation.

15. Does the project comprise COVID-19 response benefits, increase preparedness upon future pandemics or enhance urban resilience? Tick as relevant:

Ecological resilience

- Increased quality and quantity of public space (e.g. give space back to people and nature such as green spaces and parks, build with nature, etc.)
- Reduced impact on respiratory system (e.g. air quality improvement)

Infrastructure resilience

- Strengthened the health and sanitary system
- Provide resilient and equitable services (e.g., safe and resilient post-COVID-19 mass transit system, provision of fundamental public services for all)

Economic resilience

- Contributes to job creation and an inclusive economy (e.g., new green jobs, expand training for a just transition, support essential workers)

Others

- Retaining the benefits citizens have experienced from reduced pollution
- Enhanced possibilities for physical distancing
- Prevention or mitigation of possible effects of future pandemics

Social benefits

16. How does the project engage the community (citizens and other local stakeholders), encouraging their participation in the conceptualization and design and use of results of the project? Please describe.

To map your stakeholders, please consider the following groups: local, regional and national politicians, social activists, competitors, donors, financiers, funders, professional users, private users, regulatory bodies, employees, unions, etc.

List the stakeholder engagement activities for each relevant stakeholder group and explain the communication channels and platforms.

Based on the project concept we carried out a stakeholder assessment and held the first stakeholder consultation in December 2020. Short – and mid-term activities were defined and further developed in 2021. Due to the Covid-19 pandemic it was not possible to hold in person consultations in 2021, but we use the following tools for disclosure of information to stakeholders:

- regular status updates e.g. on website, social media*
- online surveys, polls etc.*

17. How does the project have a positive impact on gender equality or women's empowerment? (e.g., reduces energy expenditure by households, time spent on household chores and indoor air pollution levels, increases the time spent on learning activities, etc.) Please describe.

Consider the following questions:

- *How does the project empower women?*
- *Are women's practical and/or strategic needs a specific focus of the project?*
- *What, if any, are the anticipated benefits for women?*
- *Is the project likely to have the same positive and negative effects on women and on men?*

For further information and examples of gender impacts (on poverty-related impacts, women's empowerment, health, education and environment), please check the [Gender Tool Kit](#) developed by the Asian Development Bank.

See the [Mainstreaming gender at the GEF](#) report for a better overview about the importance of gender mainstreaming and equality at different focal areas, such as biodiversity, climate change, land degradation and water management.

Due to the lack of a sewage system in slums, women have decided to wash clothes by the river. However, the quality of the water depends on the functionality of the WWTP "...". In some cases, the treated water discharges do not meet the standards, causing dermatological diseases and some intestinal infections. In addition, when a flood occurs, women are also more exposed to pollutants from the wastewater disposed of on the streets that enters into their houses.

Therefore, in the second phase of the project there are consultations to women of the communities for the design of alternatives for a proper sewage system, as well as awareness campaigns about good practices to protect the river and to avoid gray water puddles in houses and streets to prevent water-based diseases.

FINANCIAL VIABILITY

18. Does the project have potential to generate financial savings or revenues? If yes, please describe how. If available, please attach the business model.

If you have estimates of the project's economic or financial viability using one or several of the following indicators (Net Present Value, Life-Cycle Cost Analysis, Cost-Benefit Analysis, Return on Investment (RoI), Payback Period or others) please include them in this section.

Please also consider: to what extent will revenues cover costs?

- *Tariff/fees/rates/savings will cover CAPEX & OPEX entirely or partially*
- *No revenue sources have been identified*

Yes, it does, however the business model is still to be developed. With the improved and extended services it will be possible to increase the tariffs for the sewage services and wastewater treatment, which will be the main source of revenue.

19. Can the project access international debt and finance?

Yes No

Please explain

Explain your national/local context:

- Do you need the support of the national government to access international finance?
- Have the national/federal authorities provided/ are willing to provide a written letter of support for the project?
- Do you need sovereign guarantee to access international finance?
- What is the level of creditworthiness and fiscal autonomy? Do you have a credit rating?

Yes, the project is prioritized by the national government in the "National Development Plan 2020-2025" allowing "name of local government" to access international finance.

20. Have you already received financing from international financial institutions (IFIs) or climate funds? If yes, please give reference.

Yes No

Yes, the "local government" already received financing from the Inter-American Development Bank (IDB):

IFI	Contract number/type of scheme		Projects and activities funded	Timeline
IDB	1234/ABCD	Grant	Technical assistance for...	2019
	567/XY	Loan	Biomass WtE plant	ongoing

OTHER

Did you apply to any other Project Preparation Facility?

Yes No

If yes, please explain.

Provide information:

- Name and link of the PPF
- When did you apply?
- Was that successful?
- What kind of support did you receive?
- What was the reason for rejection?

To the Gap Fund in March 2021, but the application was not successful as the project was too small for their scale.

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Please check the boxes below:

- I hereby acknowledge the information provided above and its applicability to the local/regional government I represent.
- I hereby acknowledge that the ICLEI Network city status does not commit or subscribe the local/regional government to any additional obligations, nor does it grant access to ICLEI Member benefits (as it does not qualify as ICLEI membership).



VISION OF TAP

The vision of the Transformative Actions Program (TAP) is to achieve a global transformation to a climate resilient, low-to-no emission future, with the necessary investment in robust and sustainable local infrastructure in all cities, towns, and regions around the globe.

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