



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: LDCF

Submission date: 07/17/2011

GEF PROJECT ID: 4551

GEF AGENCY PROJECT ID: 4657

COUNTRY(IES): Nepal

PROJECT TITLE: Community Based Flood- And Glacial Lake Outburst Risk Reduction

GEF AGENCY(IES): UNDP, (select), (select)

GEF FOCAL AREA(S): Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	09/01/2011
Completion date of PPG	08/30/2012

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The final product of the proposed PPG phase will be a UNDP-GEF compliant, full-sized project document for submission to the LDCF. The document will cover the following in detail:

- Description of development baseline activities and related sources of financing, in particular a summary of relevant development and disaster management projects, investment programmes and capacity building activities that focus on disaster risk reduction and livelihood support activities in the target districts of the High Mountain, Cherai and Churia region;
- Review and summary of the existing policy and regulatory framework relevant for community-based disaster risk reduction, with particular emphasis on current climate-related impacts and threats;
- Review, analysis and summary of current and past project activities by government, donors, NGOs and private sector institutions that are related to increasing community resilience (including an updated report on co-operation and co-financing arrangements drawing on UNDP support).
- A collation and synthesis of supporting reports (GLOF risk assessments, climate risk assessments, economic assessments of climate change impacts and cost/benefit studies of adaptation options) to justify the proposed project interventions and leverage additional co-financing for the proposed activities (especially with regards to GLOF risk mitigation in additional sites and establishment of GLOF early warning systems)
- Specification of planned adaptation activities to be financed by the LDCF and their rationale (i.e. why and how are they supposed to reduce vulnerability and/or increase adaptive capacity beyond what is already being done);
- Description of the geographic breakdown of project interventions in terms of districts and communities;
- Definition of project goal, objective, outcomes, outputs and verifiable indicators;
- Definition of a Strategic Results Framework and a Monitoring and Evaluation (M&E) system with quantifiable and verifiable impact indicators. These indicators, which will specifically address adaptation impacts, will be based on guidance by the LDCF results framework for adaptation projects. The indicators will be connected to a monitoring and evaluation plan, which will set out how and by whom these indicators will be measured and which way verification data will be collected by the project.
- Definition of implementation and execution arrangements for the project with detailed roles and

responsibilities of government entities, UNDP and partnering NGOs and a timeline for project implementation;

- Definition of a stakeholder involvement plan for the preparation and implementation phase of the project, with a clear focus on community involvement and participation;
- Definition of project management and reporting arrangements;
- Endorsement letters from the government and letters confirming co-financing commitments;
- A detailed set of Annexes including a listing of PPG activities and reports from all relevant stakeholder consultations

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Technical Definition and Capacity Needs Assessment	1.1. Project baseline defined, based on local consultations and detailed analysis of existing initiatives in potential target districts 1.2. Current and projected climate change risks in project area defined 1.3. Specific sites for project intervention defined 1.4. Adaptation alternative assessed and summarized for each project Outcome 1.5. Project integrated with national disaster risk reduction frameworks, climate change policies, and a cohesive NAPA follow-up programme 1.6. Project aligned with complementary climate risk management and adaptation projects, including SPCR	LDCF	25,000	25,000	50,000
2. Institutional arrangements, Monitoring and	2.1. Strategic Results Framework including verifiable results	LDCF	10,000	10,000	20,000

Evaluation	<p>indicators formulated</p> <p>2.2. Monitoring and evaluation provisions and reporting arrangements formulated</p> <p>2.3. Project implementation and execution arrangements, roles and responsibilities defined (based on a capacity assessment of possible Implementing partners)</p> <p>2.4. Project sustainability strategy defined (including plans for project replication, upscaling and knowledge management)</p>				
3. Stakeholder Consultations	<p>3.1. National and local project stakeholders mobilized and engaged in project definition</p> <p>3.2. Project partnerships and stakeholder setup defined</p> <p>3.3. Community mobilization initiated in project areas</p>	LDCF	18,500	18,500	37,000
4. Financial planning and co-financing definition	<p>4.1. Government negotiations and consultations on project-related issues facilitated</p> <p>4.2. Multilateral and bilateral co-funding opportunities explored</p> <p>4.3. Project budget defined</p>	LDCF	10,000	10,000	20,000

	4.4. Official endorsement and co-financing letters prepared				
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
Total Project Preparation Financing			63,500	63,500	127,000

C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
Grant Amount	63,500	6,350
Co-financing	63,500	
Total	127,000	6,350

D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
LDCF	UNDP	Climate Change	Nepal	63,500	6,350	69,850
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total PPG Amount				63,500	6,350	69,850

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	29.00	29,000	30,000	59,000
International consultants*	8.50	25,500	23,500	49,000
Travel		9,000	10,000	19,000
				0
				0
				0
Total PPG Budget		63,500	63,500	127,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec UNDP/GEF Executive Coordinator		July 17, 2011	Gernot Laganda UNDP/GEF Regional Technical Advisor (LECRDS)	+66/2288/2644	gernot.laganda@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be Performed
Local	Project Assessment Specialist	1000	29.00	<ul style="list-style-type: none"> - Analyze the project baseline in terms of current policies, projects and stakeholders that are relevant to the project; - Identify specific sites for project intervention and collect baseline information about the socio-economic situation in the target communities; - Coordinate consultations with government and non-government agencies, local project stakeholders and potential project partners; - Organize and facilitate technical and consultative meetings with local government and community stakeholders to assist project definition; - Propose, based on participatory stakeholder consultations, a capacity development strategy for the project; - Assist in the analysis and design of suitable flood risk reduction measures for demonstration and replication; - Develop a communication strategy with communities and facilitate their participation; - Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements; - Assist in the design of the project's Knowledge Management strategy; - Develop a sustainability and exit strategy for the project (i.e. a way forward once LDCF funding is exhausted); - Help build financing partnerships and mobilize co-financing resources;
International	Project Development Specialist	3000	8.50	<ul style="list-style-type: none"> - Act as primary contact point for the GEF Agency and the National Consultant for the drafting of a UNDP-GEF compliant project document; - Guide and coordinate input by the National Consultant; - Based on input by the National Consultant, define a Results

				<p>Framework (including Outcomes, Outputs, Indicators and Risks/Assumptions) and outline indicative project activities;</p> <ul style="list-style-type: none"> - Alongside UNDP, provide quality control for the FSP formulation process in line with UNDP/GEF and LDCF requirements; - Assist in verifying climate risks associated with the project's target areas; - Validate problem analysis of the project; - Guide the determination of the scope and strategy of the project; - Frame a consistent climate change additionality argument for the project in line with findings from field assessments; - Ensure that the project approach is cost-effective; - Formulate project management, reporting and evaluation arrangements and define an organigram for the project; - Facilitate the finalization of a financing and co-financing package for this project and ensure that co-financing letters are obtained in time for submission; - Facilitate stakeholder consultations on project preparation, including finalization of a detailed budget and TOR for all inputs in line with UNDP-GEF criteria and eligibility principles - Compile project Annexes and CEO endorsement template
(Select)				

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task

