



## PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: SCCF

Submission date: 19 April 2012

GEF PROJECT ID: 4934

GEF AGENCY PROJECT ID: 859

COUNTRY(IES): Global, West Africa, South Asia and Small Island Developing States (SIDS)

PROJECT TITLE: Enhancing Capacity, Knowledge And Technology Support To Build Climate Resilience Of Vulnerable Developing Countries

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

GEF FOCAL AREA(S): Climate Change

### A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	01/07/2012
Completion date of PPG	01/12/2013

### B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications: The objective of the proposed Full-Sized SCCF project, “Enhancing Capacity, Knowledge And Technology Support To Build Climate Resilience Of Vulnerable Developing Countries”, is to build climate resilience in vulnerable developing countries by increasing institutional capacity, mobilizing knowledge and transferring appropriate best-practice adaptation technologies. Through implementation of the SCCF project, the cooperation between China and other developing countries will be enhanced, resulting in the development of a new dimension of international co-operation on climate change. The proposed project has three main components. Component 1 will strengthen capacity building a local, national and regional level in selected countries of the three regions (i.e. West Africa, South Asia and the Small Island Developing States (SIDS)), to plan and implement climate change adaptation technologies. Component 2 will improve the availability of information and increase public awareness on best-practices for implementing and financing adaptation technologies with an ecosystem management approach in the selected developing countries, and support knowledge sharing at an inter-regional level. Component 3 will support technology transfer and know-how on best-practice adaptation measures through the integration and demonstration of concrete on-the-ground activities to build the climate resilience of vulnerable communities in the selected countries of each of the three regions. The project will employ a ‘learning by doing’ approach and there will be active promotion of the concept of ‘dynamic, learning organizations’ that have an adaptive management approach, changing policies rapidly as new scientific information becomes available.

A number of techniques and approaches will piloted/tested in project sites of the pilot countries in the three selected regions. The three regions i.e. West Africa, South Asia and the SIDS, were selected during the PIF formulation for the SCCF project. This selection was based on the type of vulnerable ecosystems affected by climate change impacts and the potential to improve the livelihoods of vulnerable communities through a package of viable adaptation interventions. The PPG phase will include an intensive selection process to select: i) a pilot country within each of the three regions; and ii) project sites within each of the selected countries. Site selection will be undertaken through consultation with a wide range of stakeholders at regional, national and local levels.

The purpose of the PPG is to finalise the development of a full project document. This will entail technical

analyses, further to that undertaken during the PIF development, of key elements of the project. These will include: i) selection of pilot countries and project sites; ii) prioritization of some of SCCF project activities/interventions that depend on the site selection; iii) development of local and national partnership agreements and institutional arrangements; iv) establishment of co-ordination mechanisms to ensure synergies with related initiatives; v) development of a sound baseline project and confirmations of co-financing; vi) development of comprehensive implementation plans; and vii) feasibility studies and environmental/social impact assessments, if necessary.

More specifically, a number of key activities and stakeholder consultations (at all levels) are required in the PPG in order to fully develop the full project document, as outlined below:

- Country and site selection: The first activity of the project preparation phase will be the selection of pilot countries within each of the three selected regions (i.e. West Africa, South Asia and the SIDS). Once the pilot countries are selected, an Inception Workshop of the PPG will be held. This will help identify project partners at national and local levels and include main governmental and non-governmental stakeholders of each of the three pilot countries. During the Inception Phase, a project development team, or steering mechanism, will be established including one focal point for each pilot country, and the concept of a "project coordinators group" discussed. The selection criteria for the project sites within each country will be finalised. Criteria for site selection will include but not be limited to the following: i) vulnerability of local communities to climate change impacts; ii) severity of ecosystem degradation; iii) vulnerability of the ecosystem to climate change impacts; iv) potential of restored ecosystem to buffer extreme climate change-induced; and v) potential to complement and/or upscale related projects/initiatives. Project sites will be selected during an expert-driven Mapping Workshop. This will be in addition to the Inception Workshop. Experts in a range of fields (e.g. socio-economic development experts, ecosystem and biodiversity managers) will map out the criteria as described above in order to select appropriate project sites. This exercise will not select the final project sites, but will identify a number of potential sites, to be refined through local stakeholder consultations (as described below). The Inception Workshop and Mapping Workshop will also be used to: i) gather information on the baseline context; ii) document ongoing initiatives and partnerships; and iii) begin discussions with potential implementing and co-financing partners.

- Stakeholder analysis: This analysis will be undertaken to refine the understanding of the stakeholders in each country, and at each project site. This will include a determination of their capacities, needs and existing mechanisms to facilitate the transfer of adaptation technologies. It will also analyse baseline and related projects and policies of relevance to the proposed SCCF project and its implementation.

- Baseline analysis: This analysis will provide information on the local context, natural resource management practices, ecosystem status, and an overview of adaptation needs. In addition, it will identify the baseline (non-climate change driven) development challenges that are of relevance to the management of sector-specific climate-induced risks. The baseline information will contribute towards defining a clear and detailed problem analysis (root cause analysis) of the non-climate change drivers underlying the problem that the SCCF project seeks to address. Barriers to proposed solutions will be defined and the solutions to overcome these barriers will be built into the project design.

- Local consultations: Local consultations will be based on proposed activities in order to mobilise local communities, launch discussions and ensure local buy-in into the project. Once project sites have been selected, local contact points will be identified. The creation of local committees, structures and partnership arrangements will be finalised during the Inception Phase. In each pilot country consultations will take place at a national level (ministries, international partners, NGOs and private sector) as well as at the local level (local administrations, communities and their organisations). Consultations with country partners will take place on an ongoing basis throughout the preparation phase so as to build partnerships and identify co-

financing arrangements (see 'co-ordination mechanism' below).

- A set of institutional recommendations: These recommendations will put forward cost-effective and project management structures, as well as a co-ordination mechanism to ensure synergies are created with the several related initiatives which could compliment the SCCF project activities. The feasibility of a "project coordinators group" will be investigated. Should the project stakeholders agree to setting up this group, it will be composed of project coordinators from relevant ongoing projects. The group will be regularly updated on the progress of the SCCF project, and vice versa, and the chair of the group will sit on the Project Steering Committee. The chair of the group will be changed every 6 months on rotating basis. A detailed delivery strategy, which identifies roles and responsibilities of institutions involved in project management, will be developed. This will build on the in-depth stakeholder and baseline analyses. Details on supervision of technical activities and reporting procedures will be established. UNEP guidelines will be followed in formulating and describing these details.

- Feasibility studies and environmental/social impact assessments: Detailed feasibility studies and environmental/social impact assessments will be undertaken for the proposed demonstrations in the project sites, if necessary, in accordance with national legislation of the selected countries. These will be conducted before the final design of pilot demonstration is confirmed with stakeholders in order to ensure that the proposed adaptation measures are environmentally sound.

- Project documentation: This will be developed in line with the latest GEF and UNEP templates and guidelines. Documentation will include annexes, co-financing letters, endorsement letter, budgets, workplans and M&E frameworks. A detailed M&E framework and delivery strategy will include: i) clear identification of responsibilities and institutions; ii) an appropriate activity/output -based budget allocation; iii) the project logframe including qualitative and quantitative indicators that will measure the impact of the project, including the development of the GEF monitoring tool (AMAT); iv) provisions for independent evaluation; and v) provision to ensure learning of lessons from implementation. The M&E framework will be based on the guidance provided by UNEP and GEF for adaptation projects, and amended appropriately given the context of the proposed project.

The full funding proposal will include a CEO Endorsement Request and a full UNEP project document with annexes and related technical supplements. The full project document will provide the following information:

- Clear description of the problem, root causes, preferred solution, barriers and strategy to overcome the barriers.
- Clear description of baseline activities and related sources of financing. This section will cover the existing relevant policy and regulatory framework as well as summarise the past project related activities funded by government (both national and sub-national), donors and private sector in adaptation in the pilot countries. In addition, it will include an updated report on the co-operation and co-financing of the envisaged SCCF project.
- Explicit specification of all adaptation activities to be financed under the SCCF and their adaptation rationale (i.e. why and how are they supposed to reduce vulnerability and/or increase adaptive capacity beyond what is already being done, including justification in terms of economic benefits, cost effectiveness).
- Clear description of the country context including the sites where activities will be implemented.
- Clear description of the expected roles and responsibilities among different stakeholders (national and sub-national authorities, different ministries and institutions, and UNEP, considering their comparative advantages).
- Clear description of the project management structure.
- Definition of the project goal, objective, outcomes, outputs and related indicators.

- Project Logical Framework that captures the indicators and verification strategies .
- M&E framework for the project that focuses on adaptation to climate change including variability. This will include a list of proposed indicators and an associated M&E plan (with a clear definition of how these indicators would be measured and how verification data would be collected through the monitoring programme).
- Risk assessment and risk mitigation strategies including for financial management of the project.
- Work plan with detailed roles and responsibilities for implementation.
- Detailed budget that specifies how SCCF funding will be used to implement the proposed work plan and achieve the expected outcomes, with co-financing information at the outcome level.
- Stakeholder Involvement Plan, detailing stakeholder involvement during the design, preparation, implementation of the proposed project.
- Supporting reports (climate risk assessments, economic analysis on costs/benefits of impacts, technical feasibility analysis of various adaptation options and economic assessment of adaptation options) to justify the proposed project's interventions and to leverage financing for the proposed activities. This may include pre-feasibility studies for pilots and draft business plans.
- Endorsement letter from the host government and letters confirming all co-financing commitments.

<b>List of Proposed Project Preparation Activities</b>	<b>Output of the PPG Activities</b>	<b>Trust Fund</b>	<b>Grant Amount (a)</b>	<b>Co-financing (b)</b>	<b>Total c = a + b</b>
Site Selection	Project sites are identified on the basis of criteria.	SCCF	20000	33000	53000
Stakeholder and Baseline analyses; Technical and feasibility studies	A report on stakeholders and on ongoing relevant activities in project sites; baseline analysis of overall context for adaptation; feasibility and environmental/social impact assessment studies at each project site.	SCCF	29000	30000	59000
Local consultations	Stakeholder identification, partnership agreements, site selections and local buy-in and input.	SCCF	22000	30000	52000
Institutional and financing strategy	Agreements on institutional management of programme; knowledge management strategy; and co-financing strategy.	SCCF	18000	24000	42000

Workshops and meetings	Inception Workshop and inception report; expert-driven Mapping Workshop; Project Validation Workshop.	SCCF	11000	33000	44000
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
<b>Total Project Preparation Financing</b>			<b>100000</b>	<b>150000</b>	<b>250000</b>

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

	Project Preparation	Agency Fee
Grant Amount	100000	10000
Co-financing	150000	
<b>Total</b>	<b>250000</b>	<b>10000</b>

**D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
(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
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total PPG Amount</b>				<b>0</b>	<b>0</b>	<b>0</b>

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

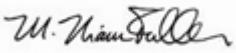
**E. PPG BUDGET**

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	25	25000	24000	49000
International consultants*	17	42000	41000	83000
Travel		18000	57000	75000
Meetings and workshops		12500	24000	36500
Communications		2500	4000	6500
		0	0	0
<b>Total PPG Budget</b>		100000	150000	250000

\* 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
Maryam Niamir – Fuller, Director, GEF Coordination Office, UNEP		04/19/2012	Ermira Fida, Head, GEF Adaptation nit, DEPI, UNEP	Tel. +254 20 7623113	ermira.fida@unep.org

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

Type of Consultant	Position / Titles	\$/ Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
International	International Climate Change Specialist	2470	17	<ul style="list-style-type: none"> <li>• Provide technical advice on site selection process, technical and feasibility studies to be undertaken, baseline assessments and development and selection of adaptation technologies to be demonstrated in selected countries.</li> <li>• Assist national consultants with proposing robust additionality arguments of proposed interventions;</li> <li>• Coordinate the development of the project document and CEO endorsement;</li> <li>• Lead the consultant team and help scope PPG activities and work plan;</li> <li>• Define the strategic results framework, work plan and budget for the project;</li> <li>• Control quality of inputs and outputs of all consultants and subcontractors;</li> <li>• Validate the project's problem and barrier analysis - ensuring that this has been thoroughly analysed and that a sound argument is put forward;</li> <li>• Investigate potential options for the project's institutional and implementation arrangements – use stakeholder consultation to gauge where best project management and steering committee can be placed;</li> <li>• Develop the project's sustainability strategy – i.e. ensure the project does not become dormant after implementation;</li> <li>• Demonstrate cost-effectiveness of the project's interventions;</li> <li>• Propose co-funding and financing plan;</li> <li>• Stimulate partnerships and help mobilize resources.</li> </ul>
Local	Climate Specialists - PPG National Focal Points (One Per Selected Country)	1000	25	<ul style="list-style-type: none"> <li>• Act as local focal point (s) for each selected country;</li> <li>• Help coordinate relevant PPG activities in demonstration countries/ sites and ensure the quality of outputs;</li> </ul>

				<ul style="list-style-type: none"> <li>• Lead negotiations and consultations with potential partners;</li> <li>• Based on existing regional models, and knowledge of climate in selected country (ies), describe the current and future climate;</li> <li>• Help to outline a detailed problem analysis (root-causes, barriers, solutions);</li> <li>• Propose/ Identify appropriate adaptation options and measures for demonstration;</li> <li>• Lead the identification of potential demonstration sites for intervention using the defined criteria;</li> <li>• Facilitate negotiations with stakeholders and potential partners (e.g. organise and facilitate a series of technical workshops and consultative workshops);</li> <li>• Define the roles and responsibilities of all ministries involved and confirm suitable institutional/implementation arrangements;</li> <li>• Establish the baseline situation/scenario regarding on-going and planned investments;</li> <li>• Identify additional investments required to adapt to climate change;</li> <li>• Support design of on-the-ground pilot adaptation measures and prepare pre-feasibility studies and cost/benefit analysis;</li> <li>• Help build partnerships and mobilize resources;</li> <li>• Review and analyse existing policies and regulatory and institutional frameworks, including adaptation incentives, disincentives and barriers;</li> <li>• Design the project's policy, institutional and capacity development strategy and action plan;</li> <li>• Propose suitable institutional /implementation arrangements;</li> <li>• Help build partnerships and mobilize resources;</li> <li>• Conduct Stakeholder Analysis and develop Stakeholder Participation Plan, including community mobilisation strategy</li> <li>• Design Knowledge Management and M&amp;E component (including learning mechanisms and</li> </ul>
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				impacts indicators); <ul style="list-style-type: none"> <li>• Help to develop the project's replication and exit strategy (sustainability);</li> <li>• Liaise with Government counterparts and international consultants on technical matters.</li> </ul>
(Select)				
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<sup>1</sup> Provide dollar amount per person week.

<sup>2</sup> Provide person weeks needed to carry out the task