



REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: FULL-SIZED PROJECT

TYPE OF TRUST FUND: LDCF

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PART I: PROJECT INFORMATION

Project Title:	Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)		
Country(ies):	Sao Tome & Principe	GEF Project ID:	5184
GEF Agency(ies):	UNDP	GEF Agency Project ID:	4645
Other Executing Partner(s):	Ministry of Agriculture, Fishery and Rural Development	Submission Date:	Oct. 31, 2014
GEF Focal Area (s):	Climate change	Project Duration (months):	48 months
Name of parent programme: For SFM/REDD+	n/a	Agency Fee (\$):	380,000.00

A. FOCAL AREA STRATEGY FRAMEWORK¹

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Indicative grant amount (\$)	Indicative co-financing (\$)
CCA-2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level	Outcome 2.2: Strengthened adaptive capacity to reduce risks to climate-induced economic losses	Output 2.2.1: Adaptive capacity of national and regional institutions and networks strengthened to rapidly respond to extreme weather events Output 2.2.2: Targeted population groups covered by adequate risk reduction measures	LDCF	1,000,000.00	4,000,000.00
CCA-1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level	Outcome 1.3: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	Output 1.3.1: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	LDCF	2,810,000.00	11,503,157.00
Sub-total				3,810,000.00	15,503,157.00
Project management cost			LDCF	190,000.00	773,124.00
Total project cost				4,000,000.00	16,276,281.00

¹ Refer to the [Focal Area Results Framework and LDCF/SCCF Framework](#) when completing Table A.

B. PROJECT FRAMEWORK

Project Objective: To strengthen the resilience of rural community livelihood options against climate change impacts in the Sao Tome & Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Cofinancing (\$)
Developing capacities of the key institutions of relevance to rural development and livelihoods including CBOs and other CSOs to effectively support communities resilience and adaptation to climate change	TA	1) The capacity of the CATAP, CIAT, DGE, district governments and assemblies, district councils, CSOs and CBOs to support the enhancement of climate resilience of rural community livelihoods	<p>1.1) An institutional capacity building programme to strengthen technical and scientific capacity of CIAT experts and technicians to develop agro-sylvo-pastoral adaptation technologies to enhance climate resilience of rural community livelihoods in CMPLCL Districts is developed and implemented</p> <p>1.2) Up to 50 Trainers (technical staff members of CATAP) are trained in climate change impacts on agricultural production, resilient farming, and climate change adaptation agricultural technologies to strengthen its institutional capacity as national agro-sylvo-pastoral climate change adaptation training centre.</p> <p>1.3) Climate Risk Management (CRM) and adaptation capacity of Centre for Support of Rural Development (Centro de Apoio ao Desenvolvimento Rural - CADR) is developed to support the implementation of adaptation technologies and promote the sustainability of the adaptation advisory system to rural communities in CMPLCL.</p> <p>1.4) 6 districts of CMPLCL and 30 villages have their climate change platforms (CC-DAVIP) created to facilitate</p>	LDCF	1,175,900.00	7,576,281.00

			<p>dialogue and coordination for the elaboration, the implementation and the monitoring of village and districts levels annual adaptation plans and related budgets.</p> <p>1.5) Up to 300 representatives of the districts and villages platforms, district governments assemblies are trained how to identify resilient elements of current livelihoods options and integrate into Climate Change Annual Adaptation Plans (CC-VAAP) for development and implementation of adaptative practices.</p> <p>1.6) Up to 10 members of the Center of Ecology Surveillance (CES) and Directorate General for the Environment (DGE) will be trained in GIS to increase their capacity in the integration of climate risks in the monitoring of the evolution of the STP ecosystems and the identification of the climate risks in 6 districts of CMPLCL and 30 most vulnerable villages.</p>			
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Investments for the protection of communities livelihoods against climate risks	INV	2. Vulnerability of rural livelihoods reduced through climate risk management supportive infrastructures and practices	<p>2.1) Small scale community managed infrastructures to fight climate induced flood, erosion and droughts are built to enhance the resilient elements in existing farming systems and support implementation of Districts and village level climate change platforms Plans in the 6 districts of CMPLCL and 30 villages.</p> <p>2.2) Community based safety nets mechanisms for managing risks associated with climate variability impacts on foods resources and livelihoods are developed in each of the 30 most vulnerable villages of the districts of CMPLCL.</p>	LDCF	1,275,800.00	4,000,000.00
Diffusion of climate resilient livelihoods strategies in the most vulnerable communities	TA	3) Adaptation strategies are designed and transferred to strengthen communities' climate resilience in the 30 most vulnerable villages of the 6 districts of CMPLCL of São Tome and Principe	<p>3.1) District and village annual and multiyear adaptation plans (CC-VAAP) for resilient livelihood options of 6 districts and 30 villages (CMPLCL) in STP are developed to identify, prioritize, coordinate and implement adaptation actions resulting from climate change platforms (CC-DAVIP).</p> <p>3.2) Long-term Agro-sylvo-pastoral adaptation technologies, tools and mechanisms to strengthen communities' climate resilience in the 30 most vulnerable villages of the 6 districts of CMPLCL are developed by CIAT, CATAP and CADR.</p> <p>3.3) Village Centres for Agriculture Resources Transformation (Village CART's) to complement (CC-VAAP) are</p>	LDCF	1,358,300.00	4,000,000.00

		developed and supported for 2,000 rural households in the 30 most vulnerable villages of the 6 districts of CMPLCL			
		3.4) Micro- credit products are designed and offered to communities of each of the 30 most vulnerable villages of the 6 districts of CMPLCL, to increase resilience of current livelihoods and support alternatives income generating activities in village adaptation plans.			
Sub-Total				3,810,000.00	15,576,281.00
Project Management Cost ² inclusive of direct project services (such as procurement of goods and services, permanent project staff and consultants recruitment and other human resources management services) which UNDP will provide at the request of government and itemizes against a schedule of costs set out in UNDP's Universal Price List. An initial analysis has been completed indicating that these costs will not exceed USD 10,000 per annum)				190,000.00	700,000.00
TOTAL				4,000,000.00	16,276,281.00

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Please include letters confirming co-financing for the project with this form

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
National Government	Ministry of Agriculture, Fisheries and Rural Development (MoAFRD) through the Food Crop Project	Grant	3,576,281.00
Bilateral	European Union	Grant	4,000,000.00
Bilateral	African Development Bank Group (AfDB)	Grant	8,000,000.00
GEF Agency	UNDP	in-kind	350,000.00
GEF Agency	UNDP	(Core Resources)	350,000.00
Total Co-financing			16,276,281.00

² Same as footnote #3.

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF AGENCY	TYPE OF TRUST FUND	FOCAL AREA	Country name/Global	Project amount (a)	Agency Fee (b)	Total c=a+b
UNDP	LDCF	CC-A	Sao Tome and Principe	4,000,000.00	380,000.00	4,380,000.00
Total GEF Resources				4,000,000.00	380,000.00	4,380,000.00

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	729,100.00	282,526.00	1,011,626.00
National/Local Consultants	780,000.00	302,250.00	1,082,250.00

G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex D an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

PART II: PROJECT JUSTIFICATION**A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF³**

A.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, Biennial Update Report

N/A

A.1.1 The GEF Focal Area/LDCF/SCCF Strategies:

N/A

A.2. GEF Focal Area and/or Fund(S) Strategies, Eligibility Criteria and Priorities

N/A

A.3 The GEF Agency's comparative advantage:

N/A

A.4. The baseline project and the problem that it seeks to address:

N/A

1. In summary, although for technical reasons the SATOCAO Company has withdrawn its contribution for the project, overall the baseline investments for the project have not changed significantly from the PIF stage and now represent a co-financing ratio of about 4:1 (co-finance to the GEF grant). The AfDB commitment to São Tomé and Príncipe through the PRIASA II programme is highly significant and among other activities, they will be funding the rehabilitation of various rural infrastructure and projects contributing to the improvement of the food security and reduction of poverty and vulnerability of poor communities in STP.

³ For questions A.1 –A.7 in Part II, if there are no changes since PIF and if not specifically requested in the review sheet at PIF stage, then no need to respond, please enter “NA” after the respective question.

2. GoSTP co-finance contributions for the project remains unaltered and given the usually tight budget of the GoSTP, the proportional overall co-financing contribution represents an effort and is a testimony to the importance the Government attaches to the project and the successful attainment of its objectives.

Table 1 - Changes in Co-finance from PIF to CEO Endorsement Request (by donor/funding source)

Sources of Co-financing at CEO Endorsement	Name of Co-financier at CEO Endorsement	Type of Co-financing	Amount (\$) at PIF	Amount (\$) at CEO Endorsement
National Government	Ministry of Agriculture, Fisheries and Rural Development (MoAFRD) through the Food Crop Project	Grant	3,500,000.00	3,576,281.00
Bilateral	European Union	Grant	4,000,000.00	4,000,000.00
Private sector	SATOCOA	Grant	8,000,000.00	-
Bilateral	African Development Bank Group (AfDB)	Grant	-	8,000,000.00
GEF Agency	UNDP	in-kind	700,000.00	350,000.00
GEF Agency	UNDP	Grant + Core Resources	-	350,000.00
Total Co-financing			16,200,000.00	16,276,281.00

A.5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

3. Description of many of the activities and strategies to be supported by GEF is provided in the PIF document. Nonetheless, these activities and strategies have been greatly elaborated and some have been revised based on the detailed studies and consultations that were undertaken during the PPG stage. Additionally, in agreement with the changes in baseline co-finance sources between SATOCOA and PRIASA II and the associated changes in funding requirements identified during the PPG consultations and the available resources for certain groups of activities, the proportion of GEF funding for certain components has shifted. A summary of the budget allocations (disaggregated by component) at PIF stage versus that of the project document are provided below:

Component	GEF Funds at PIF stage	GEF Funds at CEO Endorsement	% Change
Component #1	850,000.00	1,175,900.00	(+38,3%)
Component #2	1,310,000.00	1,275,800.00	(-2.6,%)
Component #3	1,650,000.00	1,358,300.00	(-17.6%)
Project Management	190,000.00	190,000.00	(0,0%)
Total	4,000,000.00	4,000,000.00	(0.0%)

4. The overall approach and the nature of the Outputs remain consistent with those set out in the PIF. The major shift in GEF funding has been an increase for Component #1 and a rearrangement of the funds left to activities under Components #2 and Components #3. In the original PIF, the disproportionate allocation of the GEF funds to Component #3 was due to the fact that at PIF stage it was envisioned that GEF funds might have to be used towards the priority community adaptation projects in each of the six districts and support the MFI's towards the scheme of ensuring individual funding to community members that do not have property liable to be taken as collateral. However, due to the reduced capacity gaps to handle climate change impacts on community livelihoods identified during the PPG consultations it was decided to increase the resources allocated to the Component 1, particularly the support for the establishment and the operations of climate change platforms (CC-DAVIP). The role of these platforms is to facilitate dialogue and coordination for the elaboration, the implementation and the monitoring of village and districts levels annual adaptation plans and related budgets.

5. Additionally, the overall costs of the Component 3 were reduced thanks to the greater support of the PRIASA II programme which finances baseline activities aim at increasing communities access to water through the construction of new water reservoirs and rehabilitation of water distribution network. Additionally, the PRIASA will support community training in water management and water conservation, food conservation and processing of agriculture produce and the micro-credit activity foreseen for communities in Principe Island to promote small scale horticulture and agriculture areas that can produce and sustain the growing tourist activity. Therefore GEF funds originally allocated to Component #2 and #3 were transferred to the relevant Component requiring additional support (Components #1). The change/revision of outputs (compared to the PIF) are summarized in the following paragraphs and described in greater detail in the UNDP Project Document (Section 2.4). A summary of the change in outputs in the project document versus the PIF is provided at the end of this section.

6. **Component #1:** The expected **outcome** of this component is to have the Center for Agro Pastoral Development (CATAP), the Centre for Agronomic and Technological Investigation (CIAT), the Center for Ecological surveillance (CES) the district governments and assemblies, CSOs and CBOs strengthened to support the enhancement of climate resilience of rural community livelihoods in the São Tomé & Príncipe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL). The activities to be implemented under Outcome 1 will enable 300 targeted stakeholders (CATAP trainers, rural delegation staffs, district council members, NGOs and CBOs technicians) to develop skills and capacity on how to design, implement and monitor climate resilient agriculture measures and strategies, how to develop and implement community adaptation plans and how to mainstream climate change into district development planning and budgeting process. Building on the same baseline projects that the PIF (namely, GCCA and Food crops development projects), this component has remained mostly similar to the one presented in the PIF with six outputs of the original PIF document focusing on developing key activities towards the strengthening of the capacity of the institutions named above. A new-fangled issue to this Component is the Climate Risk Management (CRM) and adaptation capacity proposed in Output 1.3 to be developed for the Centre for Support of Rural Development (Centro de Apoio ao Desenvolvimento Rural – CADR) to support the implementation of adaptation technologies and promote the sustainability of the adaptation advisory system to rural communities in CMPLCL. In addition, the Output 1.6 has been restructured in its objectives to accommodate the gap identified during the stakeholders consultations in relation to Center of Ecology Surveillance (CES) which require capacity to be able to integrate climate risks in the monitoring of the evolution of the STP ecosystems, to develop a dynamic agro-climatic zoning of STP ecosystems and to regularly update the vulnerability maps developed thanks to the UNDP-AAP program which will allow the line institutions to integrate in the climate change policy dialogue.

7. **Component #2:** This Component addresses “Investments for the protection of communities livelihoods against climate risks” in order to reduce the vulnerability of rural livelihoods to climate risks through climate risks management infrastructures and mechanisms. This objective is accomplished through two Outputs which are the same that the original outputs listed in the PIF. Though slightly reworded and building in a new baseline projects (no baseline project at PIF endorsement and PRIASA II at CEO endorsement), the first Output has kept its nature. Building on the first component of the PRIASA II, the GoSTP will use the LDCF funds to support the design, the implementation and the maintenance of low-cost community based approaches to counter climate-induced soil erosion and flooding of crop fields. Potential activities to be implemented based on a participatory and transparent selection process with the local

communities' involvement include: terracing, strengthening drainage systems, rain water control, landscaping, wind breaks and other forms of erosion control, as well as dykes and bunds to protect fields against flooding. Additionally, low-cost infrastructure to collect and distribute rain waters to counter periods of water shortage, and develop water saving irrigation systems in the most vulnerable communities will be built. Furthermore, this output will support the integration of climate and weather information (rain forecast, evapotranspiration, humidity, cyclones) in the design, use and management of irrigation systems (quantities of water to be used, when to use the irrigation systems, etc.) that will be built with LDCF financing, and will leverage PRIASA II ongoing activities to promote efficient use of water resources. Additionally, the LDCF resources will support communities to make the community infrastructure supported by the PRIASA II project and other initiatives more resilient to climate risks and extreme events. This output will also support the design of the management scheme of the low infrastructure which will organize the use and mobilization of resources for the operation and maintenance of the infrastructure. The empowerment of communities targeted under the Output 1.5 will include training on infrastructure management and maintenance. The second output of this Component 2 also slightly reworded and building in a different baseline project (no baseline project at PIF endorsement and PRIASA II at CEO endorsement), covers initially intended objective of developing small-scale adaptation initiatives that can enhance Communities livelihood potential in Sao Tome & Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL) and can function as a safety nets in years when farming activities could be hit by the effects of hard climate conditions. Building upon the first component of the PRIASA II, the proposed project, LDCF resources will be used to support the development of coping mechanisms such as cereal banks, food cooperatives, and other custom based mechanisms for managing risks associated with climate impacts on foods resources, natural and economic assets, and livelihoods in each of the 30 most vulnerable villages of the districts of CMPLCL. Communities and district officials at project sites will be supported to pilot adaptation measures applicable to food cooperatives (CC FOOD-COOPs) in each of the six districts, to plan and develop strategies for food crops and for the long term storage and small scale processing of excess produce; such is the case of tomatoes in Me-Zochi district. A suite of other cost-effective techniques for reducing rural vulnerabilities such as community managed grain surplus storage facilities will be developed. There are also varied techniques for building such facilities, with different costs and benefits according to the model of choice and their appropriateness in different contexts. The project will ensure that improved and cost-effective customized facilities are built in a demonstrative manner as an additional measure of adaptation to climate change. The preliminary livelihoods analysis carried out in the communities to understand how people access and control various resources has shown that coastal communities of some districts have been affected by climate variability in that the daily fishing catch has become so variable that there is now a need for infrastructure to conserve and process fish in times of excess catch. Likewise, rural markets to facilitate exchange of goods are lacking. The LDCF will endeavor to support the piloting of cost-effective measures that can help communities' livelihoods to become more resilient to climate variability and change.

1. **Component #3:** Though maintaining the initial objectives and spirit this Component has experienced some rearrangement to accommodate new adaptation needs and priorities that were revealed during the consultations under the PPG phase particularly in its Outputs 3.2 and 3.3. The original Output 3.2 has been swapped to become Output 3.3 and slightly reworded in addressing priority community adaptation projects focusing on enhancement of current livelihoods resilience and livelihood diversification through the establishment of Village Centres for Agriculture Resources Transformation (Village CART's) to complement CC-VAAP developed and supported for 2,000 rural households in the 30 most vulnerable villages of the 6 districts of CMPLCL. The logic behind this move is that this Output 3.3 will support the transformation of the products generated thanks to the provision of new Output 3.2. However, this new Output 3.2 still addresses the agro-sylvo-pastoral adaptation technologies supporting the Taiwan food crop project to include climate changes concerns in the food crops seeds and seedling production and the elaboration of agricultural standard operating procedures (SOP). The overall objectives of the output is to strengthen cop husbandry management in particular on composting technology, fertilizers and pesticides management capacitance, weed control and production of climate resilient seeds and seedlings for alternative crops as well as the strengthening the resilience of animal production of current faming system including livestock, rabbit and pig production in rural household, development of small scale poultry farming, etc. Finally Output 3.4 remains mostly the same addressing design of at least three micro-credit products to be offered through financial service providers to increase resilience of current livelihoods and support alternatives income generating activities in village adaptation plans. However the approach for the overaching of this objective has changed from the PIF now focusing on the strategic partnership of local NGOs such as MARAPA and some banks (micro-finance institutions) to help adjust their schemes to deploy adaptation finance. Building in a new baseline project (SATOCAO at PIF

endorsement and 2nd component of PRIASA II at CEO endorsement), the Government of São Tomé and Príncipe will be able to use LDCF resources to effectively support the integration of climate change adaptation in STP local development projects, above all the initiatives targeting the increase of food and cash crop productivity, the development of the livestock farming, and forest exploitation and management – in short, the livelihoods of rural communities. The integration of climate change and variability in rural livelihood development initiatives will allow communities to practice sustainable and climate change resilient agriculture using climate resilient agriculture and livestock inputs, best agriculture technologies including sustainable land, forest and water management (SLFWM) strategies and integrating climate information into farming decisions. Also, the support needed for advancing the diversification of the rural economy (including saving and credit systems, management advice, and development of new commercial channels), must be secured in order to enable communities to pursue alternative income generating alternative activities. It is in fact about putting in place the conditions which will enable the sustainable increase of communities' resilience and capacities to adapt to climate change through a set of integrated actions including: the demonstration in selected areas of the Integrated Adaptation Measures (IAM) identified by the communities themselves through the climate change district and villages platforms and designed in the annual and multiyear adaptation plans (CC-VAAP); the setting up of Village Centers for Agriculture Resources Transformation (Village CART's) to enhance Communities livelihoods; the design and development of investment plans for communities' selected community-level adaptation measures; and the development of at least three micro-finance products tailored to the identified adaptation needs of the local communities to support alternative income generating activities. All these initiatives and strategies must be identified and planned by the communities themselves, with the support of the CATAP, CIAT and the district assemblies and governments, in the framework of the village and district adaptation annual plans. These initiatives and strategies are also intended to complement and enhance the past and ongoing baseline efforts developed by PRIASA II project resilience.

A summary of the changes and revision of outputs from PIF to CEO ER is provided in the table below:

Table 2 - Changes in Outputs (disaggregated by Component) from PIF to CEO Endorsement Request

Component	Original Outputs	New Outputs	Comments
1: Developing capacities of the key institutions of relevance to rural development and livelihoods including CBOs and other CSOs to effectively support communities resilience and adaptation to climate change	<u>Output 1.1.</u> A training programme is designed and implemented to provide CIAT experts and technicians with the technical capacity to develop agro-sylvo-pastoral adaptation technologies and climate resilient seeds and seedlings for cocoa, maize, cassava, sweet potato, taro and soybean.	<u>Output 1.1.</u> An institutional capacity building programme to strengthen technical and scientific capacity of CIAT experts and technicians to develop agro-sylvo-pastoral adaptation technologies to enhance climate resilience of rural community livelihoods in CMLCL Districts is developed and implemented.	The spirit of the Component has stayed the same except for the introduction of Climate Risk Management (CRM) and adaptation capacity of CADR to offset one of the main gaps identified during stakeholder consultations undertaken in the PPG phase.
	<u>Output 1.2.</u> A human and technical capacity development plans is designed and implemented for the CATAP to become a national agro-sylvo-pastoral climate change adaptation training center.	<u>Output 1.2.</u> Up to 50 Trainers (technical staff members of CATAP) are trained in climate change impacts on agricultural production, resilient farming, and climate change adaptation agricultural technologies to strengthen its institutional capacity as national agro-sylvo-pastoral climate change adaptation training Centre.	
	<u>Output 1.3.</u> 200 agricultural extension Services trained on adaptation strategies to support village climate change platform and vulnerable communities' transition to climate-resilient livelihoods.	<u>Output 1.3.</u> Climate Risk Management (CRM) and adaptation capacity of Centre for Support of Rural Development (Centro de Apoio ao Desenvolvimento Rural - CADR) is developed to support the implementation of adaptation technologies and promote the	Therefore Output 1.3 was restructured to address this issue and the original objective were integrated as an activity.

	<p>sustainability of the adaptation advisory system to rural communities in CMPLCL.</p> <p><u>Output 1.4.</u> Districts and village level climate change platforms created in the 6 districts of CMPLCL and 30 villages to facilitate dialogue and coordination for the elaboration, the implementation and the monitoring of village and districts levels annual adaptation plans and related budgets.</p> <p><u>Output 1.5.</u> 300 representatives of the districts and villages platforms, district governments assemblies trained on how to develop, implement and monitor Annual Adaptation Plans and related budgets.</p> <p><u>Output 1.6.</u> 3 Community based organizations (farmers association, women based groups and other local stakeholders,) in each of the rural community of the 6 districts of CMPLCL are empowered (organization, awareness raising, leadership training,) and mobilized to efficiently contribute in the processes of identifying and addressing the underlying causes of vulnerability and developing adaptative practices in concert with CATAP, and CIAT.</p>	<p><u>Output 1.4.</u> 6 districts of CMPLCL and 30 villages have their climate change platforms (CC-DAVIP) created to facilitate dialogue and coordination for the elaboration, the implementation and the monitoring of village and districts levels annual adaptation plans and related budgets.</p> <p><u>Output 1.5.</u> Up to 300 representatives of the districts and villages platforms, district governments assemblies are trained how to identify resilient elements of current livelihoods options and integrate into Climate Change Annual Adaptation Plans (CC-VAAP) for development and implementation of adaptative practices.</p> <p><u>Output 1.6.</u> Up to 10 members of the Center of Ecology Surveillance (CES) and Directorate General for the Environment (DGE) will be trained in GIS to increase their capacity in the integration of climate risks in the monitoring of the evolution of the STP ecosystems and the identification of the climate risks in 6 districts of CMPLCL and 30 most vulnerable villages.</p>	<p>The next major change in this Component took place in Output 1.6 which has been restructured on its objectives to strengthen the capacity Center of Ecology Surveillance (CES) to integrate climate risks in the monitoring of the evolution of the STP ecosystems update the vulnerability maps to allow the line institutions to integrate in the climate change policy dialogue. The original objectives of this Output were integrated as specific activities in Output 1.5 where the concept of Climate Change Farmers Field Schools (CC-FFS's) demonstration plots, was introduced to train and enlighten Community Based Organizations and community farmers on the safety and efficient use of agriculture inputs (equipment, seeds, other agriculture inputs...).</p>
<p>2. Investments for the protection of communities livelihoods against climate risks</p>	<p><u>Output 2.1.</u> Small scale community managed infrastructure to fight against climate induced erosion (terracing, rain water control, wind breaks and other forms of erosion control) and crop fields flooding (dykes, bunds) , to collect and distribute rain waters in order to prevent climate induced irrigation water shortage in dry seasons, and resilient irrigation systems are built and maintained in the most vulnerable regions of CMPLCL.</p> <p><u>Output 2.2.</u> Extreme climate and weather disaster safety nets mechanisms such as cereal banks, food cooperatives, and other custom based mechanisms for managing risks associated with climate variability impacts on foods resources, natural and economic</p>	<p><u>Output 2.1.</u> Small scale community managed infrastructures to fight climate induced flood, erosion and droughts are built to enhance the resilient elements in existing farming systems and support implementation of Districts and village level climate change platforms Plans in the 6 districts of CMPLCL and 30 villages.</p> <p><u>Output 2.2.</u> Community based safety nets mechanisms for managing risks associated with climate variability</p>	<p>Output 2.1 of this Component though reworded it kept its nature and essence integrating further other unforeseen issues at PIF stage (such as the rehabilitation of rural trails and old existing water storage structures at Old Cocoa Farms (Roças)) which were added based on a detailed needs analysis and stakeholder consultations done during the PPG phase.</p> <p>Output 2.2 of this Component though reworded it kept its nature and essence with activities covering the original objectives set at PIF</p>

	assets, and livelihoods are developed in each of the 30 most vulnerable villages of the districts of CMPLCL.	impacts on foods resources and livelihoods are developed in each of the 30 most vulnerable villages of the districts of CMPLCL.	stage.
3. Diffusion of climate resilient livelihoods strategies in the most vulnerable communities	<p><u>Output 3.1.</u> District and village annual and multiyear adaptation plans and related budgets are developed to identify, prioritize, coordinate and implement adaptation actions of the supporting institutions and the communities aiming to increase the climate resilience of livelihoods in the 30 villages the most vulnerable in the 6 districts.</p> <p><u>Output 3.2.</u> 3.2) Priority community adaptation projects focusing on enhancement of current livelihoods resilience and livelihood diversification (beekeeping, ecotourism, NPFL exploitation, small ruminant and poultry breeding, artisanal activities,...) are implemented for 2,000 rural households in the 30 most vulnerable villages of the 6 districts of CMPLCL.</p> <p><u>Output 3.3.</u> Agro-sylvo-pastoral adaptation technologies and climate resilient seeds and seedlings for cocoa, maize, cassava, sweet potato, taro and soybean are developed by the CIAT.</p> <p><u>Output 3.4.</u> At least three micro-credit products designed and offered through financial service providers to increase resilience of current livelihoods (e.g. resilient seeds and animal breeds or efficient water harvesting, irrigation and storage technologies,) and support alternatives income generating activities in village adaptation plans.</p>	<p><u>Output 3.1.</u> District and village annual and multiyear adaptation plans (CC-VAAP) for resilient livelihood options of 6 districts and 30 villages (CMPLCL) in STP are developed to identify, prioritize, coordinate and implement adaptation actions resulting from climate change platforms (CC-DAVIP).</p> <p><u>Output 3.2.</u> Long-term Agro-sylvo-pastoral adaptation technologies, tools and mechanisms to strengthen communities' climate resilience in the 30 most vulnerable villages of the 6 districts of CMPLCL are developed by CIAT, CATAP and CADR.</p> <p><u>Output 3.3.</u> Village Centres for Agriculture Resources Transformation (Village CART's) to complement (CC-VAAP) are developed and supported for 2,000 rural households in the 30 most vulnerable villages of the 6 districts of CMPLCL.</p> <p><u>Output 3.4.</u> Micro- credit products are designed and offered to communities of each of the 30 most vulnerable villages of the 6 districts of CMPLCL, to increase resilience of current livelihoods and support alternatives income generating activities in village adaptation plans.</p>	<p>Output 3.1 of this Component though reworded it kept its nature and essence with activities covering the original objectives set at PIF stage.</p> <p>Output 3.2.has resulted from the older Output 3.3 at PIF stage with slight rewording but maintaining the spirit and original objectives set at PIF stage.</p> <p>Outcome 3.3 resulted from the old Output 3.2 with slight rewording and further integrating the concept of Village Centres for Agriculture Resources Transformation (Village CART's) based on based on the needs analysis and stakeholder consultations done during the PPG phase.</p> <p>Output 3.4 remains mostly the same now integrating the concept of strategic partnership with local NGOs and some banks (micro-finance institutions) to help adjust their schemes to deploy adaptation finance.</p>

Global Environmental benefits

9. This project supports national development goals and plans to achieve Millennium Development Goals (MDGs) 1, 3, 6 and 7 in São Tomé and Príncipe.

- ***MDG 1: Eradicate extreme poverty and hunger*** – This project aims to strengthening the resilience of rural community livelihood options against climate change impacts in the São Tomé districts of Caué, Me-Zochi, Príncipe, Lemba, Cantagalo, and Lobata (CMPLCL), so to improve food security at local and nationally, providing valuable agriculture produce, water resources and extension support two-thirds of the population who are dependent on the agricultural value chain (NAPA, 2006);

- *MDG 3: Promote gender equality and empower women* – Support and assistance given to the 63,000 STP's rural farming community (in which 52 % are women in 2010) as well as micro-finance products will be tailored to end-user needs, in particular the needs of women who have little access to farming assistance and support, particularly on vulnerable communities. Women focused NGOs have been implicated in the project (Sea, Environment and Craft Fishing NGO-MARAPPA, Federation of Small Farmers -FENAPA-STP, Cocoa Production Company-SATOCOA and FONG-STP Federation of all NGO's) and the majority of the "cash-for-work" labor scheme beneficiaries will women and youths.
- *MDG 6: Combat HIV/AIDS, malaria and other diseases* – Malaria and other vector-borne diseases are heavily linked with climate variables such as temperature and excess humidity resulting from extreme rainfall events. This project will provide drainage and erosion control measures as well as rain harvesting structures which will increase water for sanitation and reduce uncontrolled ponding which will be able to reduce the spread of such diseases;
- *MDG 7: Ensure environmental sustainability* – Deforestation poses a serious threat to environmental sustainability and is jeopardizing progress towards poverty and hunger eradication in São Tomé and Príncipe. Similarly, deforestation and the occurrence of extreme rainfall event have enhanced erosion phenomena in STP, reducing the production potential. The foundation of this project is to ensure environmental sustainability by integrating reforestation and erosion control initiatives into the planning of districts and villages CC Platforms (CC-DAVIP) and integration in Climate Change Annual Adaptation Plans (CC-VAAP) for development and implementation of adaptative practices.

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:

1. An initial analysis of Risks was provided in the PIF in section B.4. This has been developed in the UNDP Project Document (Section 2.5).

#	Description	Date Identified	Type	Impact & Probability	Countermeasures/Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Insufficient qualified human capacity	During PIF formulation	Operational	P = 4 I = 5	Strong capacity development approach incorporated in project design. Specific training opportunities e.g. for technical staff concerned with the establishment climate change implementation and for district staff on various CC risk and adaptation issues; dedicated capacity building programme at community level.	RTA	Who submitted the risk <i>(In Atlas, automatically recorded)</i>	When was the status of the risk last checked <i>(In Atlas, automatically recorded)</i>	e.g. dead, reducing, increasing, no change <i>(In Atlas, use the Management Response box)</i>
2	Insufficient institutional support and political commitments and lack of coordination of the various key stakeholders.	During PIF formulation	Political/ Strategic	P = 2 I = 4	The proposed project is strongly supported by the Government of São Tomé and Príncipe (GoSTP) and other key stakeholders and development partners including the private sector. Government is committed to support the implementation of the adaptation measures in the selected vulnerable villages of the Caué, Me-Zochi, Príncipe, Lemba,	RTA			

					Cantagalo, and Lobata (CMPLCL) districts; In addition, Stakeholders and local communities are committed to implement the project interventions and provide the necessary support and collaboration.				
3	Lack of capacity of communities to develop Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) and not enough Extension Workers able to support rural areas and implementation of village annual and multiyear adaptation plans (CC-VAAP).	During project formulation	Operational	P = 4 I = 5	The project will train at least 90 Agricultural Extension staff (including on-the job trainings scheme) on adaptation strategies to support village climate change platform and vulnerable communities. Communities will be trained and provided with the mean to identify their own adaptation needs, prioritize, coordinate and plan.	RTA			
4	Microfinance Institutions (MFIs) ability to develop innovative products to finance adaptation can affect their engagement, as they can be deterred from incurring upfront expenses even when the overall balance of costs and benefits is positive.	During PIF formulation	Operational	P = 4 I = 5	Micro-finance institutions will adopt a wholesale approach with flexible repayment installments, yearly or seasonal will be tested to consider the seasonal or inter-annual climate variability as well as the seasonality of the alternative incomes generating activities.	RTA			
5	Continue falling down of commercial crop (cocoa, coffee, ...) prices:	During PIF formulation	Political/ Strategic	P = 1 I = 3	Studies have revealed that when cocoa prices are low, STP cocoa producers complement the decrease of agricultural incomes with charcoal production and selling and this has contributed in	RTA			

					forest resources depletion in STP. Then, if the commercial crops prices experience a continue falling, this may lead to a disinterestedness of farmers for the project activities related to these crops, negatively affect the achievement of project objectives to preserve forest ecosystem integrity and the project success at whole. The project emphasis in climate change resilient alternative income generating activities will help to mitigate this risk by giving to the farmers more secure revenues sources less vulnerable to the international market context.				
6	Climate risk reducing and alternative income generating activities financing mechanisms increase indebtedness and vulnerability	During PIF formulation	Political/ Strategic	P =1 I = 3	Capacity building and technical support programmes will be designed and implemented for any innovative financial product intended to finance climate risk reduction that will be introduced. The capacity building will target to improve the capacity of MFI to assess applicant's suitability for any climate risks reduction credit facilities and the economic profitability of the climate risks reduction strategies seeking financing.	RTA			
7	Communities may not adopt eco-system protection and enhancement measures	During PIF formulation	Political/ Strategic		Raising the awareness of communities of the benefits associated with reforestation is central to the reforestation activities piloted by the project. The project team will build on experience from other projects undertaking similar activities to	RTA			

					promote good practice, and reduce this risk.				
8	Poor coordination, weak capacity of relevant stakeholders and lack of willingness of community villagers to support implementation of climate change adaptation measures in target selected vulnerable village	During PIF formulation	Strategic/ Political	P =1 I = 3	<p>The PPG phase consultations have shown the good institutional cooperation between GoSTP departments participating in the project implementation.</p> <p>The above and clear Project Management arrangements should build the foundation for a good success for project implementation.</p> <p>The climate change adaptation measures correspond to the urgent needs expressed by the primary proponents, particularly the community villagers which will reduce the risk of lack of support from the communities.</p>	RTA			
9	Weak institutional capacity at District level to oversee, support and guide the process of establishment of districts and villages CC Platforms (CC-DAVIP)	During Project formulation	Strategic/ Operational	P =3 I = 4	<p>A capacity support approach has been developed, which aims to build the capacities of the GoSTP institutions and partners of the project to deal with climate change risk and adaptation. A major part of the project is to strengthen institutional and technical capacity of two major players of the project the NIM and the CONPREC.</p> <p>Specialist technical input will be contracted in, to work with local technical staff.</p>	RTA			

					The Head of Environment and Sustainable development Unit will work closely with the Project Manager to ensure smooth and timely delivery of project outputs.				
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A.7. Coordination with other relevant GEF financed initiatives

10. Several other on-going national and regional projects relevant to climate change adaptation needs and capacity gaps, agricultural production systems for food security and water resources and sanitation are being implemented and will provide opportunities for collaboration, information sharing and lessons learned with this project. Most directly, the on-going World Bank led GEF-LDCF project: *“São Tomé and Príncipe Adaptation to Climate Change” focusing on Coastal Adaptation for Vulnerable Communities* (2011-2016; \$4.1 million) will be implemented along with this project and will benefit from the already established Local Disaster Risk management Committee (LDRMC) at district level and it will be the embryo on the process of establishment of districts and villages CC Platforms (CC-DAVIP) for this LDCF. This will be carried out by widening their mandates in accruing the role of facilitators of dialogue on climate change, for a greater awareness and understanding amongst stakeholders of climate change issues and their linkages with rural livelihood options; and for the coordination, discussion and synchronization of strategies among partners in the design, implementation and monitoring of districts and villages annual and multiyear adaptation plan. This project will also learn from the UNDP led GEF-LDCF project: *“Strengthening climate information and early warning systems in São Tomé and Príncipe for climate resilient development and adaptation to climate change”* (2013-2017; \$4 million) which will make available relevant climate and weather information and support the development of agrometeorological tools to enhance the climate resilience of STP’s agriculture. The Agricultural Division will coordinate with the NIM in order to make sure that the EWS will also provide the required climate and weather information the communities will need to successfully implement their CCA annual and multi-year plans in order to strengthen the climate resilience of their livelihoods. Additionally, this LDCF will support the NIM to develop a strategy for an efficient dissemination of climate and weather warning information towards rural communities to better face to climate and weather events. Through these mechanisms, the project will share valuable information and lessons learned on the climate change adaptation sector in the country and on the development of new technologies and social structures (LDRMC and districts and villages CC Platforms) as well as generated knowledge of the risks (vulnerability & hazard) of climate variability and change at national level necessary for successful implementation of the CCA annual and multi-year plans.

B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:

B.1 Describe how the stakeholders will be engaged in project implementation.

11. Key stakeholders, with a major direct role in the project were identified and consulted at different stages, during the Project Preparation Grant (PPG) phase, to obtain their inputs and feedback for designing the project and many of whom will constitute key partners in project implementation. Among the most important of these were: the Ministry of Agriculture, Fishery and Rural Development as the leader and other Responsible Partners which will include the São Tomé and Príncipe districts authorities of Caué, Me-Zochi, Príncipe, Lembá, Cantagalo, and Lobata (CMPLCL); The General Directorate of Agriculture, Fishery and Rural Development, which includes the Centre for Agronomic and Technological Investigation (CIAT); The Technical Training Center for Agriculture and Livestock (CATAP); The Agriculture Division at the Ministry of Planning and Development and The Centre for Support of Rural Development of the Ministry of Planning and Development (CADR) as well as other collaborating institutions including The National Institute of Meteorology (INM); The Directorate General of Environment (DGE); The Center for Environmental surveillance (CES). As a result of those consultations, the project is to be implemented through an adaptive and collaborative management approach that will ensure that key stakeholders are involved early and throughout project execution. Apart from directly implementing many elements of the project (as detailed in the description of the project components and outputs), most of the key stakeholders will participate on the Project Steering Committee. The UNDP Project Document (Section 1.4, Section 2.9, Annex 2 and Table 8) provides detailed additional information on project stakeholders and their respective roles in project implementation. Additionally, during the PPG phase, a lengthy and dedicated consultation was particularly undertaken at national level, with two of the most likely partners and contributor to this LDCF in supporting the microfinance approach intended to be adopted by this LDCF: The Micro-Finance Institutions (MFIs) and local NGO’s who will be invited and supported in a joint partnership to adopt a wholesale approach and include adaptation services to the rural communities.

B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF):

12. At a national level, all regions and particularly the six São Tomé districts of Caué, Me-Zochi, Príncipe, Lemba, Cantagalo, and Lobata (CMPLCL) will benefit from the implementation of the planned activities of this LDCF primarily towards the reduction of the food insecurity in the country. By contributing to the increase of the agricultural productivity and production, the project will promote an increase in the food availability in São Tomé and Príncipe (STP) and in the cover rate of the national diet by the local production. The current STP level of food crop production cannot cover the country needs and the gap is imported making STP food security more vulnerable to the international market of foods. Indeed, food imports/aggregate imports ratio of 26% of São Tomé and Príncipe is among the food-importing countries with the highest level of vulnerability⁴. Imports (% of merchandise imports) in São Tomé and Príncipe was last measured at 29.83 in 2010, according to the World Bank and represented 27,3 %⁵. In some years (2003) food is among has been the lead import of STP and represented 40 % of STP total imports. Therefore, this project by securing and improving the agricultural production, will increase the food availability within the country, reduce the needs of food imports and consequently improve the food security at the national level. In addition, the LDCF project will introduce new infrastructure and capacity largely through improving capabilities of the key institutions and by transferring appropriate technology and skills to climate change adaptation in agriculture training, research and extension services (CATAP, CIAT and CADR), user-agencies (DGA and MFI's) and end-users (local farming communities) in the country.

13. At local level, the project in collaboration with the Ministry of Agriculture, Fisheries and Rural Development (MoAPDR) and related institutions will promote rainwater harvesting technologies and techniques at village level to fight the “sahelianisation” of the country resulting from the dusty air mass of the “harmattan” blown from the Sahelian region causing frequent episodes of drought particularly in the northern cocoa production region hitting hard on the productivity of this leading export product. These particular initiatives will directly benefit more than 2,000 rural households (with a special emphasis on households of which women are head of family). The financed infrastructures under Outcome 2 will include terracing of sloppy land, the strengthening drainage systems, rain water control, landscaping, wind breaks structures and other forms of erosion control as well as dykes and bunds to protect fields against flooding. On the hand, the safety net mechanisms to be financed will include cereal banks, food cooperatives, and other custom based mechanisms for managing risks associated with climate variability impacts on foods resources, natural and economic assets, and livelihoods of local communities. In addition, Outcome 3 of this LDCF will support small-scale priority community adaptation projects and technologies to complement CC-VAAP and for the creation of art crafts workshops. These projects and technologies will include water-saving irrigation techniques, climate resilient land, forest and soil fertility management strategies. All of these LDCF initiatives will directly benefit more than 2,000 rural households in the six districts of CMPLCL of São Tome and Príncipe and indirectly a big share of the 63,000 STP's rural (in which 52 % are women in 2010). Finally as a result of the Outcome 1 activities of the project, up to 300 targeted stakeholders (CATAP trainers, rural delegation staffs, district council members, NGOs and CBOs technicians) will have developed skills and capacity on how to design, implement and monitor climate resilient agriculture measures and strategies, how to develop and implement community adaptation plan and how to mainstream climate change into districts development process. This will allow them to support and facilitate the implementation of appropriate community based adaptation measures that will contribute to make the livelihood options of the most vulnerable communities of STP more climate resilient

⁴ São Tomé and Príncipe – proposal to approve an AfDB Grant of one million of units of account (ua 1,000,000) in Response to the food crisis.
<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Project-and-Operations/AR%20En%20Sao%20Formatted.pdf>

⁵<http://www.tradingeconomics.com/sao-tome-and-principe/food-imports-percent-of-merchandise-imports-wb-data.html>

B.3. Explain how cost-effectiveness is reflected in the project design:

14. The LDCF project activities will build on existing ongoing work in the baseline, achievements and planned actions by other initiatives such as the PRIASA II, Taiwan Project and the “Global climate change Alliance (GCCA)” projects. This will allow institutional capacity to be built cost-effectively, ultimately assisting in developing the Village annual and multiyear adaptation plans (CC-VAAP) as well as planning and implementing of Integrated Adaptation Measures (IAM). This approach of complementing existing, related projects is more cost-effective than if the implementation of a separate initiative, as it will allow the LDCF project to be managed within the existing institutional and management frameworks. The project will also, among other things, inform and complement baseline investments amounting to more than US\$60 million in strengthening communities’ livelihood resilience to climate change within São Tomé (i.e. the PRIASA II, Taiwan Project and the “Global climate change Alliance (GCCA)” project). The success of these projects is likely to be hindered by anticipated climate change impacts due to the fact that climate change considerations are presently not integrated in these projects. The economic impact of the project’s activities related to these baseline projects is, therefore, potentially much higher than its initial investment and thus very likely to be cost-effective. In addition, all costs for inputs, human resources, supplies are meant to be competitive, both in national and international context. Through the implementation of Integrated Adaptation Measures (IAM) identified by the communities themselves via the Climate Change District and Villages Platforms and designed in the Village annual and multiyear adaptation plans (CC-VAAP) and further the demonstration in selected areas of vulnerable communities as well as the setting up of Village Centers for Agriculture Resources Transformation (Village CART’s) to enhance Communities livelihoods, the project aims to reach a total of approximately 9,070 people with an average investment of US\$440 per each member of vulnerable community directly affected by the project (total LCDF budget, including management cost). The tangible benefits coming from this investment per household will be far outweighing the cost.

15. Lessons learned from on-the-ground interventions will be captured and disseminated through inter alia: i) Climate Change Farmers Field Schools (CC-FFS’s) demonstration plots, to train and enlighten Community Based Organizations and community farmers on the safety and efficient use of agriculture inputs (equipment, seeds, other agriculture inputs...); ii) www page for dissemination of community-based adaptation approaches, lessons learnt and communities’ traditional knowledge to be widely shared with local partners, international agencies, scientific community; iii) a toolkit outlining methodologies used to assess climate change risks, adaptation planning and implementation, cost effectiveness analysis and a replication plan for all six district CC Platforms; and iv) Climate Change Training and Adaptation Modules (CCTAM), a toolbox that will include courses, handbooks and manuals. This integrated approach provides a cost-effective manner of informing an extensive range of stakeholders, which include government technical staff, policy-makers, restoration practitioners, scientists, university students, school children and the general public. Finally with regard to procurement of project inputs, standard procedures of the GoSTP and UNDP will be carefully applied to ensure value for money in all purchases of goods and procurement of services for the project, and the project will use strict internal and external audit controls that meet international standards.

C. DESCRIBE THE BUDGETED M & E PLAN:

16. The UNDP Project Document provides a detailed description of the monitoring, reporting and evaluation to be undertaken during the Project (Section 6). Full details of indicators, baseline values and targets are presented in Annex 1 to this document (Results Framework).

17. Monitoring and evaluation activities will follow standard UNDP and GEF monitoring and evaluation policies and guidelines. Monitoring and evaluation of progress in achieving project results and objectives will be done based on the targets and indicators established in the project Results Framework (Annex 1). The project will develop a detailed M&E strategy presenting the methodology for that will be used to measure the progress and realization. This methodology will be mainly based on the Randomized Trial Control (RCT) principle. The project Monitoring and Evaluation Plan has been budgeted at US\$140,000 (see Table below). Integrated into all outcomes, the project monitoring and evaluation approach will also facilitate learning and mainstreaming of project outcomes and lessons learned into international good practice as well as national and local policies, plans and practices. A summary of the envisaged M&E activities is provided in the following table.

M&E Workplan and Budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> Project Manager UNDP CO, UNDP CCA 	Indicative cost: 10,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> UNDP CCA RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop. Indicative cost is 20,000.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> Oversight by Project Manager Project team 	To be determined as part of the Annual Work Plan's preparation. Indicative cost is 15,000.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> Project manager and team UNDP CO UNDP RTA UNDP EEG 	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> Project manager and team UNDP CO UNDP RCU External Consultants (i.e. evaluation team) 	Indicative cost: 40,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> Project manager and team, UNDP CO UNDP RCU External Consultants (i.e. evaluation team) 	Indicative cost : 40,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> Project manager and team UNDP CO local consultant 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> UNDP CO Project manager and team 	Indicative cost per year: 3,000	Yearly
Visits to field sites (UNDP staff travel costs to be charged to MoAFRD fees)	<ul style="list-style-type: none"> UNDP CO UNDP RCU (as appropriate) Government representatives 	For GEF supported projects, paid from IA fees and operational budget 12,000	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 140,000 (+/- 5% of total budget)	

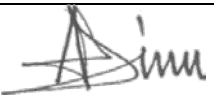
PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

- A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this form. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Lourenco Monteiro de Jesus	GEF Focal Point	MINISTRY OF AGRICULTURE	10/28/2014

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu, Executive Coordinator, UNDP/GEF		Oct. 31, 2014	Henry Rene Diouf, RTA, Africa		Henry.rene.diouf@undp.org

ANNEX A: PROJECT RESULTS FRAMEWORK

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</p> <p>By 2016, the Government and districts, as well as the population, adopt techniques and behaviours that promote a sustainable environment and ensure better prevention and management of risks and natural disasters</p>					
<p>Country Programme Outcome Indicators: :</p> <p>Number of monitoring systems in place for pollution and disaster risk management</p>					
<p>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): Promote climate change adaptation</p>					
<p>Applicable SOF (e.g GEF) Strategic Objective and Program: Applicable SOF (e.g GEF) Strategic Objective and Program: Objective 2 “Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level”.</p>					
<p>Applicable SOF (e.g. GEF) Expected Outcomes: Outcome 2.1 “Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas”; and Outcome 2.2 “Strengthened adaptive capacity to reduce risks to climate-induced economic losses”.</p>					
<p>Applicable SOF (e.g .GEF) Outcome Indicators:</p> <p>% of population covered by climate change risk measures</p> <p>Nº and type of targeted institutions with increased adaptative capacity to reduce risks of and response to climate variability</p> <p>Nº and type of community groups trained in climate change risk reduction</p>					
	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<p>Project Objective⁶</p> <p><i>To strengthen the resilience of rural community livelihood options against climate change impacts in the São Tomé districts of Caué, Me-Zochi, Príncipe, Lembá, Cantagalo, and Lobata</i></p>	Percentage change in vulnerability of local community to climate risks via perception based survey (VRA)	The PIF and local level assessments at demonstration sites during PPG consultation process indicates high vulnerability of the selected sites.	At mid-term 25% increase of VRA score; at end-of-project 50% of VRA score.	Gender sensitive field survey / VRA and/or local level assessments at demonstration sites (Questionnaire based appraisal - CBA) APRs/PIR	<p><i>Risk:</i> Insufficient institutional support and political commitments and lack of coordination of the various key stakeholders.</p> <p>Assumptions: Government is committed to support the implementation of the adaptation measures in</p>

⁶ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR
GEF5 CEO Endorsement Template-February 2013.doc

(CMPLCL).					<p>the selected vulnerable villages of the Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL) districts;</p> <p>Stakeholders and local communities are committed to implement the project interventions and provide the necessary support and collaboration.</p>
Outcome 1⁷ <i>The capacity of the CATAP, CIAT, district governments and assemblies, district councils, CSOs and CBOs strengthened to support the enhancement of climate resilience of rural community livelihoods.</i>	1.1 Capacity perception index in CATAP, CIAT, CSE, CSOs, CBOs and districts councils.	1.1 VRA to be undertaken at the project onset.	1.1 By year 4 of the project Target ≥ 3	1.1 VRA Field survey and APRs/PIR	<p><i>Risk:</i> Weak institutional capacity at District level to oversee, support and guide the process of establishment of districts and villages CC Platforms (CC-DAVIP)</p> <p>Assumptions:</p> <ul style="list-style-type: none"> • The project activities will develop capacity building to help mitigate the risk associated with the weakness of institutional
	1.2 Number of Agricultural Extension staff (including on-the job trainings scheme) trained on adaptation strategies to support village climate change platforms.	1.2 Currently The Ministry of Agriculture, Fisheries and Rural Development (MAPDR) has only two Agricultural Extension staff in each of the six CADR Extension delegations at district and village level.	1.2 By the end of the project at least 60 Agricultural Extension staff (including on-the job trainings scheme) have been trained on adaptation strategies to support village climate change platforms.	1.2 Project monitoring and APRs/PIR	

⁷ All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

					<p>capacities.</p> <ul style="list-style-type: none"> CIAT, CATAP and CADR will have the technical capacity and political will to develop capacity building to carry out training and capacitance of new agriculture extension officers.
<p>Outcome 2</p> <p><i>Vulnerability of rural livelihoods reduced through climate risks supportive infrastructures and mechanisms.</i></p>	<p>2.1 Number of small scale rainfall harvesting, number of water storage structures and/or small sale irrigation networks established at community level.</p>	<p>2.1 Currently no rainfall harvesting, no sizeable water storage structures and/or irrigation networks have been established at community level in the selected pilot sites.</p>	<p>2.1 By the end of the project at least 1(one) rainfall harvesting, and/or 1(one) sizeable water storage structures and/or 1(one) irrigation network has been established at community level in the selected pilot sites particularly in drought prone areas.</p>	<p>2.1 Project monitoring and technical assessment reports APRs/PIR.</p>	<p>Risk: Poor coordination, weak capacity of relevant stakeholders and lack of willingness of community villagers to support implementation of climate change adaptation measures in target selected vulnerable village.</p> <p>Assumptions:</p> <p>The climate change adaptation measures</p>

	2.2 Number of ha that has benefited from any forms of erosion control as well as dykes and bunds to protect fields against flooding.	2.2 In the baseline no erosion control measures are being developed in the selected vulnerable locations.	2.2 By the end of the project at least 30 (thirty) % of the identified eroded areas is benefited by any forms of erosion control as well as dykes and bunds to protect fields against flooding.	2.2 Project monitoring and technical assessment reports (PIR).	correspond to the urgent needs expressed by the primary proponents, particularly the community villagers which will reduce the risk of lack of support from the communities. There will be a clear project management arrangements and regular interactions between the stakeholders.
Outcome 3 <i>Adaptation strategies are designed and transferred to strengthen communities' climate resilience in the 30 most vulnerable villages of the 6 districts of CMPLCL of São Tomé and Príncipe.</i> (equivalent to activity in ATLAS)	3.1 Number of CCA measures successfully implemented by the community members as a result of Project assistance.	3.1 Currently there is no GoSTP or Private assistance scheme operating in the selected vulnerable villages supporting implemented CCA measures by the community members and there is no CCA measures successfully implemented by the community members.	3.1 By the end of the project at least two CCA measures have been implemented by the community members as a result of Project assistance.	3.1 Project evaluation reports (PIR) and technical assessment reports APRs/PIR.	Risks: Microfinance Institutions (MFIs) ability to develop innovative products to finance adaptation can be affected by the communities' engagement, as they can be deterred from incurring upfront expenses and rigid repayment schemes even when the overall balance of costs and benefits is positive. Assumptions: Micro-finance institutions will adopt a wholesale approach with flexible repayment installments, yearly or seasonal will be tested to consider the seasonal or inter-annual climate variability. Risks: Lack of capacity of communities to develop Integrated
	3.2 Number of Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) that were successfully demonstrated and scaled up at community level.	3.2 Currently, no annual and multiyear adaptation plans or policies that explicitly integrate climate change adaptation measures.	3.2 By the end of the project at least 50% of Integrated Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) have been successfully demonstrated and scaled up at community level in the target vulnerable villages.	3.2 Project evaluation reports (PIR. Integrated Adaptation Measures & Annual and Multiyear Adaptation Plans developed.	

					<p>Adaptation Measures (IAMs) included in the annual and multiyear adaptation plans (CC-VAAP) and not enough Extension Workers able to support rural areas and implementation of village annual and multiyear adaptation plans (CC-VAAP).</p> <p>Assumptions:</p> <p>The project will train at least 90 Agricultural Extension staff (including on-the job trainings scheme) on adaptation strategies to support village climate change platform and vulnerable communities. Communities will be trained and provided with the mean to identify their own adaptation needs, prioritize, coordinate and plan.</p>
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ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Comments	Responses	Changes made in full project
	Germany Comments	
<p>1. Expected Output 2.1 of the PIF aims at installing small scale community managed infrastructure, such as terracing or wind breaks. Although such small scale infrastructure is proven to be successful measures in erosion control, a strong commitment is requested from the involved stakeholders. In addition, such measures are known to be time consuming during their implementation phase, especially, when they are implemented in a participatory manner. <i>Therefore, Germany recommends to further elaborate on how the PIF makes sure that the local communities and inhabitants accept and engage in these measures and how the sustainability of the management is ensured, also after the end of this 48 month project</i></p>	<p>Indeed Output 2.1 of project document aims at the establishment and maintenance of small scale community managed infrastructures to fight climate induced flood, erosion and droughts to enhance the resilient elements in existing farming systems and support implementation of Districts and village level climate change platforms Plans in the 6 districts of CMPLCL and 30 villages.</p> <p>All these low-cost infrastructures amongst others, including: terracing, strengthening drainage systems, rain water control, landscaping, wind breaks and other forms of erosion control, dykes and bunds to protect fields against flooding, small scale structures to collect and distribute rain waters to counter periods of water shortage, and develop water saving irrigation systems in the most vulnerable communities will be built in a participatory approach with the local communities' involvement and under a "Cash-for-Work" scheme. This will enhance the ownership of the interventions and all resulting structures built in the villages.</p>	<p>See Section 2.4 of Project Document for details.</p>
<p>2. Expected Outputs 2.2 and 3.2 target the 30 most vulnerable communities of the districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo and Lobata (CMPLCL). However, the PIF does not mention on which basis these 30 communities are being selected or were selected already. If the communities shall be selected during the implementation of the project, Germany notes that the conduction of a vulnerability assessment will consume a large portion of the projects time. <i>Therefore, Germany recommends to refer to the document that is used as a basis for the selection of the 30 communities or to already include an appropriate approach in the PIF.</i></p>	<p>The approved Project Information Form (PIF) anticipated that <u>Component 1</u> of the project would comprise Pilot and Demonstration investments in the São Tomé districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL). During consultations carried out in the Project Preparation Grant (PPG) phase, a stocktaking literature review and site visits carried out informed the final selection of project areas. Given that interventions on adaptation are needed in all areas of the country, certain criteria were developed to hone the decision on location through discussion with all concerned stakeholders at national validation workshop in April 2014. These were: (i) successful pilot interventions need to be able to benefit a large proportion of the population through dissemination. Therefore a District representative of issues common to a significant proportion of the population is ideal; (ii) interventions should be sited in an area where existing work on climate change is not being undertaken in order to provide maximum benefit to populations that</p>	<p>See Section 2.3.5 of Project Document for further details.</p>

Comments	Responses	Changes made in full project
	<p>have not received any awareness raising on climate change to date; (iii) the area should be under severe threat from impacts of climate variability and/or climate change; (iv) although stakeholders discussed the usefulness of the project representing only a number less than 30 of the most vulnerable villages from the six major geographic/socio-economic regions of the country, this was not considered feasible. For practical reasons, the adaptation measures to be implemented in the six pilot site(s) should be as much as possible common to all of them and should respond to common climate change impacts to ensure focused management, efficient resource allocation and maximum success for the project.</p> <p>Therefore, according to the above criteria, a series of villages within each of the six districts (Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata) that were pre-selected during the PIF process totalising 30 villages in the higher-level administrative sections will be beneficiaries of this project. A strategic framework for site-level activity prioritisation in these areas is provided in Annex 4 of the Project Document. A village-level consultation process was undertaken in the first half of 2014, to more closely learn the climate change impacts, the existing capacity gaps at community level and to assess corresponding adaptation measures and define pilot activities on the ground. The raw results of this mission are described in the Field Work Technical Annexure to the project document (available in Portuguese only). However, the results of this village-level consultation process have indicated that commonly:</p> <p>All the village level, communities are already food insecure with threats by rainfall reduction, extended period of drought, extreme rainfall events resulting in widespread erosion phenomena;</p> <p>Flooding, sea invasion and reduced fishing catch are also a common events in all coastal villages particularly in Caué District;</p> <p>Uncontrolled logging for charcoal production, appears as a major environmental issue in all selected villages enhancing deforestation and erosion phenomena;</p> <p>Scarcity of water for household consumption and for irrigation to minimise the impact of recurrent</p>	

Comments	Responses	Changes made in full project
	droughts has been claimed by all villages; Lack of agriculture inputs, seeds and extension support was reported by all villagers that were interviewed; Lack of animal housing structures, particularly poultry and pig farming; Lack of sanitation conditions and communal laundry sheds with water supply.	

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS⁸

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF: US\$ 75,000			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Activity 1: Defining project scope	30,000	22.750.00	7.250.00
Activity 2: Institutional arrangements, monitoring and evaluation	15,000	13.662.71	1.337.29
Activity 3: Stakeholders engagement	25,000	11.255.04	13.744.96
Activity 4: Financial Planning and co-financing definition	5,000		5.000.00
Total	75,000	47.667.75	27.332.25

⁸ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities.

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)