PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project
TYPE OF TRUST FUND: LDCF

Submission date: 08/03/2012

GEF PROJECT ID: 4991
GEF AGENCY PROJECT ID: 5096
COUNTRY(IES): Malawi, Zambia, Tanzania, Ethiopia, Uganda, Benin, Burkina Faso, Sierra Leone, São Tomé and Príncipe, Liberia
PROJECT TITLE: Strengthening Climate Information And Early Warning Systems In Tanzania To Support Climate Resilient Development
GEF AGENCY(IES): UNDP, (select), (select)
GEF FOCAL AREA(S): Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	08/15/2012
Completion date of PPG	08/15/2013

B. PROPOSED PROJECT PREPARATION ACTIVITIES ($)

Describe the PPG activities and justifications:

The final product of the proposed PPG phase will be a set of 11 UNDP-GEF compliant, full-sized project documents for endorsement by the GEF CEO. There will be 10 project documents for each country and one for a regional component that will focus on technical support facility on EWS as well as the CEO endorsement document. The formulation of the project documents will be guided by UNDP-GEF's toolkit for designing climate change adaptation initiatives (2010).

The PPG phase will include the following key activities, among others:

- Review and analysis of current and past activities by government, donors, NGOs and private sector institutions that are related to EWS and their intended objectives (to support planning/anticipatory actions or reactive actions after the event, among others) in each of the targetted countries. Identification of successful and unsuccessful interventions and the reasons (including both empircal-based as well as perceived reasons) why they did or did not work. Specific attention will be paid to the limitations of current capacity and the weaknesses of existing systems, in order to determine the absorptive capacity for the types of activities initially proposed in each approved PIF. The results of these activities will be presented as annexes to the project documents;

- Review of existing technologies for EWS at the country level including their capabilities, manufacturers, capacity of existing technical personnel for operation & management of existing EWS in order to identify capacity gaps and needs in the context of information useable for the planning purposes of different stakeholders (users). Specific attention will be provided to identify requirements to:
  - reduce the probability of equipment failure and ensure regular maintenance;
  - ensure the availability of sufficiently skilled personnel for O&M of the EWS;
  - ensure connected databases and information systems;
  - integrate met and hydrological systems, radar and satellite data;
  - maintain radar equipment (beyond current institutional budgets) as well as consideration of

appropriate alternatives;

- develop the requisite IT infrastructure and communications, including bandwidth;
- develop and maintain workstations and computational nodes where computationally intensive forecasts and/or analyses are needed;

• Consultations with both the providers and users of EWS information in each country to determine the most pressing information needs from EWS given local technical, operational and financial contexts in terms of observational equipment and infrastructure, training to advance technical and functional capacities, to support improved forecasting, produce relevant tailored climate hazard products and their packaging into sectorally specific warnings/actions. In this context, attention will be given to the the types of data to be collected (clearly distinguishing between weather and long term climate observations/forecasts), ensuring that GCOS standards are maintained and data is passed to international data centres, where possible. It is also critical that project support builds on existing skills, and identifies which types of forecasts are scientifically feasible (likely to be useable with some level of forecast skill), as well as the potential benefits associated with these forecasts;

• Description and gap analysis of the current EWS implemented by the government, including cost estimates related to infrastructure, maintenance, operations and management in each country and how it serves the information requirements of end-users. This will include a thorough evaluation of the information flow between government departments (including disaster management units), systems used for information management related to vulnerability and climate risks (including specialised crop/agricultural and hydrological modeling), databases on past climate etc. This analysis will include a needs assessment for data sharing and communication protocols between different databases and departments, as well as the operations and management of these systems. Where agricultural, hydrological, coastal etc. modelling is feasible and required, the costs of engaging in this activity and the flow of necessary data for these activities will be assessed;

• Assessments of potential locations for automatic weather stations, hydrological gauging stations, weather and coastal radars, and upper air stations based on historical records of hydro-meteorological hazards, projected changes in climate parameters, availability of land for installing equipment, and expected socioeconomic impacts. Region and country specific hazards and risks will be identified using the latest available data, and used to suggest where new infrastructure is needed. This analysis will entail a detailed costing of combinations of weather/hydrological stations, radars, satellite imagery (including hardware and telemetry/communication costs), as well as estimates of operational and maintenence costs for equipment and personnel. An estimate of the potential human and material losses that will be minimised through the LDCF investment will be made for different equipment configurations, within the requirements of stakeholders and executing agencies. The analysis will need to take into account both country specific needs as well as needs in the context of establishing a regional interconnected network of EWSs. Based on the above, and other information derived (as per below), each project document will outline which specific technologies will be procured and if applicable, where additional funding will come from;

• Identify private sector clients who will be interested/willing to pay for EWS services, what they would expect of such a service (delivery formats, lead times etc) and how much they would be willing to pay. This information will be used to further suggest which types of equipment and locations may offer potential paid-for services, recognising that some of the most vulnerable populations the project seeks to serve will not be able to pay for these services;

• Assess the ability of the NHMS and other ministries/departments to budget and plan for the human and technical costs of operationally maintaining current and additional observation networks and systems. The results of this will inform the design of the country level initiatives including scope of activities that will be financed by the LDCF;

• Specification of planned activities in each country and at the regional level to be financed by the LDCF and their rationale (i.e. why and how they will reduce vulnerabilities to climate hazards beyond what is already being done). This includes an analysis and description of the baseline projects upon which the LDCF funds will be building on;

• Description of the geographic breakdown of EWS warnings in terms of districts and communities, taking care to ensure the use of communication channels that serve all sections of the population, including women;

• Clear articulation of the country specific and regional outputs, in the context of ongoing and planned baseline initiatives, as well as details of other ongoing adaptation projects (where applicable) with relevant and related key results. The outputs will be congnizant of the local context in each country and be based on indepth analysis of gaps and needs in each country and tailored to specifically address those gaps and needs. In particular the use of EWS data for long term planning (e.g. monitoring climate change) will be assessed, taking care to balance these needs with those required for disaster and short term planning;

• Definition of a Strategic Results Framework and a Monitoring and Evaluation (M&E) system with quantifiable and verifiable impact indicators at the outcome level in each project document. These indicators will be based on guidance by the LDCF results framework as well as the AMAT tracking tool for adaptation projects, but contextualised given the country-specific project outcomes. The indicators will be connected to a monitoring and evaluation plan, which will set out how and by whom these indicators will be measured and how verification data will be collected by the project;

• Definition of implementation and execution arrangements, including reporting arrangements, for the project in each country and at the regional level with detailed roles and responsibilities of government entities (implementing partners), other partnering NGO/public/private sector entities including other national/international organisations (responsible partners) and a timeline for project implementation;

• Discussions will be conducted with relevant civil society organisations in each country during the design phase to ensure that their views are taken into accunt during the EWS systems. In addition, international and regional stakeholders such as GEO, AfriGEOSS, WMO, GFCS, IGAD, ACMAD and others who coordinate the collection of data will also be consulted with in order to inform the project design. Based on these consultations and taking into account the overall design of the project in each country and at the regional level, the PPG phase will also result in a definition of a stakeholder involvement plan for the implementation phase of the project.

• Securing relevant endorsement letters from the government and letters confirming co-financing commitments;

• A detailed set of Annexes including reports of PPG activities including all relevant stakeholder consultations.

List of Proposed Project Preparation Activities	**Output of the PPG Activities**	**Trust Fund**	**Grant Amount** (a)	**Co-financing** (b)	**Total** c = a + b
Technical definition and capacity needs assessment	1.1. Project baseline defined, based on local consultations and detailed analysis of existing initiatives	LDCF	400,000	1,944,628	2,344,628

	1.2. Current and projected climate change risks are defined 1.3. Specific sites and sectors for specific EWS messages are defined 1.4 Options for equipment deployment are defined based on needs, budget, capacity for deployment and expected benefits 1.5. Training and capacity needs for implementation and strengthening existing EWS systems are identified and costed 1.6. Project integrated with national disaster risk reduction frameworks 1.7. Project aligned with complementary climate risk management and adaptation projects				
Institutional arrangements, monitoring and evaluation	2.1. Strategic Results Framework, including verifiable results indicators, are formulated 2.2. Monitoring and evaluation provisions and reporting arrangements are formulated 2.3. Project implementation and execution	LDCF	250,000	1,215,393	1,465,393

	arrangements (including the generation and distribution of EWS messages), roles and responsibilities are defined (based on a capacity assessment of possible Implementing partners) 2.4. Project sustainability strategy defined (including plans for project replication, upscaling and knowledge management) with potential revenue from the private and public sectors				
Stakeholder consultations	3.1. National and local project stakeholders are mobilized and engaged in defining the project 3.2. Project partnerships and stakeholders are defined 3.3. Recipients of EWS messages are identified, as well as the required EWS information 3.4 Consultations with regional and international organisation such as WMO, ACMAD, ICPAC, AGRHYMET, PPCR etc.	LDCF	250,000	1,215,393	1,465,393
Financial planning and cofinancing	4.1. Government negotiations and consultations on project-related issues are facilitated	LDCF	100,000	486,157	586,157

	4.2. Multilateral and bilateral co-funding opportunities are explored 4.3. Project budget is defined 4.4. Official endorsement and co-financing letters are prepared				
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
Total Project Preparation Financing			**1,000,000**	**4,861,571**	**5,861,571**

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

	Project Preparation	**Agency Fee**
Grant Amount	1,000,000	100,000
Co-financing	4,861,571	
Total	5,861,571	100,000

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

Trust Fund	**GEF Agency**	**Focal Area**	**Country Name/ Global**	**(in $)**		
				PPG (a)	**Agency Fee** (b)	**Total** c = a + b
LDCF	UNDP	Climate Change	Global	1,000,000	100,000	1,100,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0

(select)	(select)	(select)				0
Total PPG Amount				**1,000,000**	**100,000**	**1,100,000**

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

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount ($)	Co-financing ($)	Total($)
Local consultants *	260.00	390,000	1,896,013	2,286,013
International consultants*	128.40	383,100	1,862,468	2,245,568
Travel		137,230	667,153	804,383
National consultations and Communications		89,670	435,937	525,607
				0
				0
Total PPG Budget		1,000,000	4,861,571	5,861,571

* 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
Mr. Stephen Gold UNDP/ GEF Officer-in-Charge		Aug 03, 2012	Mark Tadross Regional Technical Advisor	+27 (0)21 6502884	mark.tadross@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	$/ Person Week[1]	Estimated PWs[2]	Tasks to be Performed
International	Project Development Specialist, EWS And Climate Change Adaptation Planning	3000	128.40	Act as primary contact point for the GEF Agency and the National Consultant for the drafting of a UNDP-GEF compliant project document based on results of PPG activities outlined above; - Guide and coordinate input by the National Consultant; - Based on input by the National Consultant, define a Results Framework (including Outcomes, Outputs, Indicators and Risks/Assumptions) and outline indicative project activities; - Ensure quality of all technical and information inputs for the FSP formulation process in line with UNDP/GEF and LDCF requirements; - Assist in verifying climate risks associated with the project's target areas; - Validate problem analysis of the project taking into account key issues identified in Section B of the PPG; - Guide the determination of the scope and strategy of the project taking into account findings to key issues outlined in Section B of this PPG; - Frame a consistent climate change additionality argument for the project in line with findings from field assessments; - Ensure that the project approach is cost-effective; - Formulate project management, reporting and evaluation arrangements and define an organigram for the project; - Facilitate the finalization of a financing and co-financing package for this project and ensure that co-financing letters are obtained in time for submission; - Facilitate stakeholder consultations on project preparation, including finalization of a detailed budget and TOR for all inputs in line with UNDP-GEF criteria and eligibility principles

				- Compile project Annexes and CEO endorsement template
Local	Project Development And National Ews Expert	1500	260.00	Analyze the project baseline in terms of current policies, projects and stakeholders that are relevant to the project; - Identify specific sites for project intervention and collect baseline information about the socio-economic situation in the target communities contributing to AMAT development; - Coordinate consultations with government and non-government agencies, local project stakeholders and potential project partners; - Organize and facilitate technical and consultative meetings with local government and community stakeholders to assist project definition taking into account issues identified in Section B of this PPG; - Propose, based on participatory stakeholder consultations, a capacity development strategy for the project; - Assist in the analysis and design of suitable flood risk reduction measures for demonstration and replication; - Develop a communication strategy with communities and facilitate their participation; - Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements; - Assist in the design of the project's Knowledge Management strategy; - Develop a sustainability and exit strategy for the project (i.e. a way forward once LDCF funding is exhausted); - Help build financing partnerships and mobilize co-financing resources;
(Select)				
(Select)				
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(Select)				
(Select)				

[1] Provide dollar amount per person week.
[2] Provide person weeks needed to carry out the task