



**PROJECT DEVELOPMENT FACILITY
REQUEST FOR PDF BLOCK A FOR PDF B/FSP**



UNDP PROJECT INITIATION DOCUMENT

AGENCY'S PROJECT ID: (PIMS 2085)
GEFSEC PROJECT ID:
COUNTRY: Malawi
COUNTRY ELIGIBILITY: RATIFICATION OF CCD AND UNFCCC (CCD ON 13.6/96; FCCC ON 21/4/94)
PROJECT TITLE: SLM and Climate Adaptation in the Shire River Basin
GEF AGENCY: UNDP
OTHER EXECUTING AGENCY:
DURATION: 10 weeks
GEF FOCAL AREA(S): LD / CC-Adaptation (SPA)
GEF OPERATIONAL PROGRAMS: OP 15
GEF STRATEGIC PRIORITIES: SLM 2, 4/ ADAPTATION
ESTIMATED STARTING DATE: January 2006

FINANCING PLAN (US\$)	
GEF PROJECT	
PDF A	25,000
<i>Sub-Total GEF</i>	25,000
CO-FINANCING	
UNDP	2,000
National Contribution	
In Cash	
In Kind	2,000
NGO Task Force –in kind	2,000
<i>Sub-Total Co-financing:</i>	6,000
<i>Total PDF Financing:</i>	31,000

RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENT:

(Enter Name, Position, Ministry) Date: (Month, day, year)
 R. Kabwaza, Director Environment and 21 November 2005
 OFP, Govt of Malawi

This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for PDF Block A approval.

Frank Pinto
 UNDP/GEF Executive Coordinator
 Date: 9 January 2006

Alan Rodgers (SLM) and Martin Krause (CC-SPA)
 Regional Technical Advisors

Tel. and email: Rodgers: +254 20 622451
alan.rodgers@undp.org
 Krause: + 27 12 3548125
martin.krause@undp.org

1. Global Significance and Problem Statement

The Shire River Basin that connects Lake Malawi to the Zambezi River has been described as the development engine for Malawi's economic growth¹, as the basin contains the main hydro-power stations, much of the main commercial agricultural activities (sugar, tea, tobacco) and the industrial centre of the country (Limbe – Blantyre). The Shire River Basin is of 23,828 sq km of which 19,248 sq km are in Malawi, being 16% of the land area, and with over 22% of the population. The river itself is Malawi's most important waterway, famed in historical and modern literature as "the gateway to Malawi". Lake Malawi is a trans-boundary water-body (Malawi, Mozambique and Tanzania) and the Shire River flows through part of Mozambique before joining the Zambezi River on the way to the Indian Ocean².

The Shire Basin is often divided into thirds: The Upper Shire being the exit from Lake Malawi and the relatively flat topography around Liwonde. The Middle Shire is characterized by the steep topography either-side of the gorges around the river, leading to hydro-power barrages and power stations. The Lower Shire encompasses the flat altitude floodplain wetland system with marshes of wildlife – biodiversity significance and major sugar estates as well as small-scale subsistence agriculture. Administratively however, the Basin is divided into 6 administrative districts, within "Blantyre Region".

The Shire Basin is characterized by a rural economy based on small-scale, subsistent, rain-fed farming in the rainy seasons. Average landholding is 0.54 ha/household. Generally landholding continues to decline. The main crop is maize, which is intercropped with leguminous crops, with the most common source of protein being fish supplemented by eggs. About 78% of the household heads are engaged in farming while about 80% of the households have at least a member earning an-off farm income. Alternative income sources include small-scale income generating activities such as food production (sweets and buns), beer brewing, poultry/livestock rearing, fuel wood and charcoal production, weaving mats and baskets and vending.

Land Degradation: Steep slopes restricted access to the valley for much of the past decades, and it is only in the last 20 years that there has been much immigration from overpopulated areas elsewhere in the country. Immigration of peasant cultivators, unfamiliar with agricultural techniques adequate for steep slopes, rapidly increased the pace of land degradation. Steep hillsides, once clothed in good quality "miombo" basically ceasalpinaceous woodland (*Brachystegia - Burkea - Terminalia*), were cleared for poor subsistence agriculture (maize) and cash income from charcoaling to feed the cities of Blantyre – Limbe – Zomba.

The result has been massive land degradation with consequent soil erosion and sedimentation of rivers and wetlands and effects on the micro and meso climates, which increases vulnerability to macro climate change. In the last year electricity generation has been greatly curtailed as silt and algal blooms destroyed turbines, Blantyre City water-intake suffers great stress, and downstream wetlands and wildlife areas are silted up. Such "siltation" has destroyed fish breeding grounds, and reduced wildlife populations and commercial fishing.

Interestingly much of the western bank steep valley slopes of the gorge of Middle Shire is a protected area (Matetsi Game Reserve) with no people, little logging and little degradation. This offers a major opportunity for monitoring SLM impact, using the western bank as a "control".

¹ Eg: In "MEGS" Malawi Economic Growth Strategy (2004), the successor to the PRSP.

² The Shire is thus an "International Waterway", but all interventions proposed in this project are national in character. There is an MOU in place with Mozambique, providing for trans-boundary cooperation in water regime management.

Climate Change Adaptation: The Shire Basin is a high temperature region. Precipitation is characterized by torrential downpours of high intensities. The zone is occasionally transversed by residual tropical cyclones that often cause land/mudslides over the highlands in the catchments that end in the Shire River.

According to the INC, the Napa and other scientific studies, the Shire basin is vulnerable to climate variability and change. Global climate change impacts on the El Nino Southern Oscillation (ENSO), which in return affects the local climate and weather patterns in Malawi, including the Shire basin. The scientific evidence points to a shift in the river basin climate towards more and more intense droughts, longer and staggered timings of dryspells during rainy seasons³, erratic rainfall patterns, torrential downpours followed by flooding and a mean temperature increase. The higher than average climate variability results in a high vulnerability of river basin communities and river-based infrastructure such as hydro-electric power and drinking water plants.

Droughts and floods result in crop damages and failures, and in combination with other factors, lead to chronic food shortages. Most rural farming communities are aware of variability and have risk aversion methods (eg multi-cropping, many varieties) but the normal rain-fed subsistence agriculture is extremely vulnerable to changing patterns of climate variability such as through shifts in growing season conditions. Since most rural farmers rely on their agricultural produce to generate income, poverty is directly coupled to agricultural production. Neither at the household nor at the community level can people cope with climate induced extreme variabilities. Droughts and floods lead to chronic food shortages yet, but more importantly to Land degradation which then leads to food shortages. Climate variability exacerbates LD in an already vulnerable area (more floods, landslides, sedimentation, etc).

These surface symptoms are fed by a number of root causes: policy conflicts and lack of implementation mechanisms to enforce policy, recent partial de-centralisation, but still very weak capacity with inadequate funding; increasing vulnerability due to global climate change; uncertainty of land tenure, with land allocations through traditional chiefs, lack of Payment for Ecological Services (PES) process, which could benefit from private sector involvement; and the reduced capacity of agricultural/ natural resource extension services which prevents scaling up of success stories or innovation. Community traditions are not strong with little community based natural resource management experiences.

Barriers: The recognition of the importance of the Shire has led to a past series of interventions (from donors, civil society and government) designed to reduce resource degradation. Many of these interventions have not shown significant benefit, prompting an analysis of the barriers that prevent success. Barriers that are preventing effective sustainable land management and climate coping strategies in the Shire Basin can be summarized as follows:

- River Basin Management: The absence of inter-sectoral management results in activities being undertaken in a sectoral manner sometimes with conflicting objectives. The

³ Short dryspells (i.e. periods with no significant rain) in the rainy season have always occurred. Maize can cope with a two-week deficit. But longer periods are now experienced. A four-week dry period will kill growing maize.

planning and management of the Shire River is currently carried out on a sectoral basis and the involvement of local communities is limited. The absence of an overall planning and management strategy (particularly land use planning), developed with the participation of local level resource users, hampers the successful management of the river basin. The resources of the Shire Basin are governed by sectoral laws and policies. This sectoral separation is one of the problems facing sustainable land management in that such sectoralism negates a holistic integrated landscape approach. Three new developing policies / legislation interventions however, stand out as offering opportunity for targeted interventions now. These policy opportunities are:

- The de-centralisation process of government, empowering district / sub-district processes
 - The new land policy advocating for land reform process
 - The new Water Resources Act, providing for Integrated Water Resources Management, and setting up River Basin Management Boards (specifying the Shire Basin as a priority)
 - The very scale of degradation, forcing power stations to close, reducing electricity supply to industry; water shortages in cities and towns; massive soil loss etc, demands innovative and radical solutions, including change in institutional structures and land use behaviours.
- Capacity constraints: Capacity constraints of institutions at the district and local level to coordinate climate coping strategies and sustainable land management in the Shire River in an integrated manner. Whilst there are a number of useful sectoral policies that promote SLM, capacities, both skills and resources, at the local level to implement these policies are limited. As a result unsustainable land use practices proceed unabated.
 - There are no integrated SLM models at the local level. Failure to involve local communities in SLM interventions in an area mainly under customary forms of land use and management will lead to minimal success.
 - Insufficient livelihood alternatives: the dependence on natural resources to sustain livelihoods directly e.g. firewood used for fuel, or through cash production – such as making charcoal, has resulted in the exploitation of natural resources beyond the limits of sustainability. A contributing factor is uncertain land tenure and land responsibilities for rural people.
 - Linkages between SLM and rural development have not been maximized: Ensuring SLM will contribute to improving the livelihoods of some of the most impoverished Malawians and, by building capacities at the local level to undertake planning and management, the proposed intervention is consistent with the objectives of the PRSP.
 - Early Warning Systems: The Department of Meteorological Services has in the past operated monitoring and early warning systems in collaboration with other government institutions. These systems were:
 - Flood Forecasting and Warning System for the lower Shire, in collaboration with the Water Department
 - Early warning System for Food Security, in collaboration with the Ministry of Agriculture
 - Tropical Cyclone Monitoring and Early Warning System, in collaboration with the commission for disaster preparedness, relief and rehabilitation
 - Drought Monitoring and early warning System, in collaboration with the SADC Drought Monitoring center in Harare

Of the four systems only the Tropical Cyclone and Drought Monitoring System are still operational, but at low key.

The barriers identified above are intertwined and a comprehensive management approach is necessary for human and natural systems to be sustained into the long term. This project is therefore aimed at arresting and reversing these trends through operationalising an integrated framework to address climate adaptation and sustainable land management, with the full participation and involvement of all stakeholders

The key problem that this GEF intervention will address is made up of a series of increasing pressures on both the natural resource base and the human capacity to cope with climate change: increasing climate variability, deforestation, inappropriate agriculture on marginal (steep) lands, excessive charcoaling (even extracting roots) to feed urban demand, soil erosion and sedimentation of rivers and wetlands (necessitating river dredging near hydro-power and water intakes).

Given the expected changes in climate activities have to be modified, intensified and up-scaled to assist communities to incrementally adapt. Agricultural production systems and overall livelihood strategies have to shift and adapt to a regime of greater dryness and more extremes. A long-term approach is needed to complement ongoing development efforts.

1. 2. Project Linkage to National Priorities, Action Plan and Programmes and CP/GCF/RCF, CCA and UNDAF situation analysis

The Shire basin is prioritized in numerous plans and programmes as an area demanding interventions to overcome spiraling land degradation and support for climate change adaptation.

Malawi ratified the Convention to Combat Desertification (CCD) in 1996 and developed the National Action Plan to Combat Desertification in 2000 (EAD, 2001). The NAP focuses upon the symptoms of desertification and how these can be arrested. The major symptoms identified include increased flooding, sedimentation of water bodies, water and air pollution, reduction of perennial plant cover and biomass and reduction of available water due to decreasing river flow and ground water recharge. Key issues, which emerged during national consultations, include deforestation, degradation of water resources, encroachment into marginal catchment areas and contamination of water resources by agrochemicals due to poor water and soil conservation measures.

There are a number of sectoral policies on water, fisheries and forestry that are related to land management issues. These include the Water Resources Management Policy and strategy (draft policy) (1994), Forestry Policy (1996), National Fisheries and Aquaculture Policy (NFAP) (1999), Energy Policy (2002) and Land Policy (2002). The need for sustainable land management practices is highlighted in these policies. The Water Resources Management Policy (1994) recognizes the need to address high sediment load in overland runoff and poor quality of water bodies (including the Middle Shire) caused by land pressure and increasing demand on wood as a source of energy. The Forestry Policy (1996) provides for the protection of fragile areas such as steep slopes and riverbanks and to conserve and enhance biodiversity. The new National Land Policy (2002) aims to enhance conservation and community management of local resources by promoting community participation and public awareness at all levels to ensure environmentally sustainable land use practices and good land stewardship, and promote research and capacity building in land surveying and land management.

Malawi ratified the Climate Change Convention in April 1994. The threats of droughts and floods are ranked very high in Malawi's First National Communication to the UNFCCC (submitted in

November 2003), and the Lower Shire is identified as a highly vulnerable region requiring immediate intervention given its high population density, seriousness of climate change threat, and potential for high agricultural production from this region. As an LDC, Malawi is preparing its National Adaptation Programme of Action. Early results indicate the areas of community agricultural production in the face of changing growing season conditions to be a priority area that addresses both the learning aspects in dealing with changing climate as well as poverty reduction through improved rural production. The draft Napa document identifies the Shire basin as a top priority for a climate change adaptation intervention. A project profile for the Shire Basin has been developed and is included in the Napa document.

Malawi produced a Poverty Reduction Strategy in 2002, and one of the highest ranked goals and objectives under Pro-Poor Growth policies is the need to increase agricultural productions and incomes through promotion of small-scale irrigation and drainage, improved agricultural production through research and extension, and in improved access to markets for produce.

3. Stakeholders and Beneficiaries involved in Project

Key national stakeholders for this proposed GEF intervention include the Core Group for this project: The five collaborating NGOs (CEDRISA, NAREC, WWF, Miombo Network and CURE); Government through the office of the GEF Operational Focal Point (Dept of Environment); UNFCCC and the CCD Focal Points (Forestry); and the poor and relatively marginalized communities of the Middle and Lower Shire who are major beneficiary stakeholders. Major stakeholders and beneficiaries are described below:

- Five international, regional and local NGOs (CEDRISA, NAREC, WWF, Miombo Network and CURE), who would help interface with communities and other ongoing activities. Four of these five are the original proponents of this proposal (CEDRISA, NAREC, WWF, Miombo Network).
- Ministry of Mines, Environment and Natural Resources: they would represent government departments including those from Agriculture, Water, Lands and others, which would need to be involved in planning and execution of the proposed interventions.
- Local community groups: communities in the Lower Shire basin will be represented by leaders such as village headmen, school teachers and other elders. These will provide direct interface to local farmers, and would facilitate formation of local farmer associations. Local, subsistence farmers will be the primary target of interventions to be implemented in this project.
- Private sector: business people with interest in manufacture and redistribution of adaptation technologies such as equipment for small scale irrigation, milling, water pumps, etc; will be an important stakeholder.
- University of Malawi: Bunda College of Agriculture, Chancellor College, and The Polytechnic – they would represent the data and information providers to support agricultural production in Malawi from research on crop types, cultivars, and resource input needs to sustain production under given conditions in any part of Malawi.
- Nchalo Sugar Cooperation: one of two major sugar plantations and factories in Malawi, based in the Lower Shire basin. They would represent large, commercial production with local knowledge and experience in irrigation and other production activities in the immediate region. They are willing to help train local farmers in irrigation set up and maintenance.
- Blantyre Water Board and Ministry of Energy who are responsible for the water treatment plant and hydro power plants along the river.

4. Rationale for GEF Involvement and Fit with GEF Operational Programmes and Strategic Priorities

The need for SLM inputs to the Shire was first discussed at the GEF Country Dialogue Workshops in Malawi. The scale of degradation is such that it warrants global concern and intervention. Shire offers opportunity to address both deforestation and non-appropriate agriculture (two of the three subareas of the SLM portfolio). SLM needs input from local and central government, the private sector, research bodies and civil society. All such stakeholders have come together to find a solution to a problem that threatens not just land and ecosystem health and integrity and so rural livelihood but also agro-industry impacts on an international waterway and on wetland and riverine biodiversity. The project meets eligibility criteria for both SLM2 and SLM4; and focuses on the key concerns of the new strategic priority addressing land-water synergies.

In line with the GEF goal to establish projects to demonstrate how adaptation planning and assessment can be practically translated into projects that will provide real benefits and be integrated into national policy, this project focuses on piloting a practical adaptation approach. The project will seek synergies and establish communication and linkages with other GEF adaptation initiatives particularly the Coping with Drought and Climate Change regional project (CwD) and the Adaptation Learning Mechanism (ALM). The regional climate information component of CwD and the ALM as a knowledge management instrument are particularly relevant for Malawi. Specific activities relating to CwD and ALM will be designed during the PDF A. The project fits under SPA because it addresses urgent and immediate climate adaptation concerns and generates benefits in the LD focal area.

The major global benefits expected from this intervention are in the area of LD and CC and relate to the slowing down and stabilization of land degradation processes and the reduction of vulnerability to climate change.

5. Expected Goal, Objectives and Outcomes of Final Project and Relevance to Outcomes of CPD and UNDAF

This project will assist Malawi to adapt to future climatic change and to reduce land degradation through an integrated river basin management approach. Through better use of climate information, water management and drought mitigation and SLM techniques, this project will address the impacts of climate change on the Shire river basin including land degradation and food security.

A major national benefit will be food self-sufficiency in the face of increasing seasonal climate variability by improved management of water, crop type and cultivar selection, and diversification of subsistence activities. Furthermore, climate change will be mainstreamed in agricultural sector activities. Successful completion of this project will offer a very useful model for dealing with climate change including variability over the growing season for many subsistence communities in Africa.

The **global environmental goal** is “to strengthen the adaptive capacity of communities in the Shire Basin to reduce land degradation and cope with future climate change”. The goal of the project will be achieved through a range of measures, which can be grouped around five outcomes. Details on each outcome are inductive, not absolute.

Outcome 1: Promote SLM techniques

The project will develop, promote and scale up sustainable farming practices including use of water harvesting, small-scale irrigation, diversify choice of crops and seed type, increase productivity via low tillage and till mulch, operational use of seasonal forecasts at the local level, re-forestation, river bank stabilisation, sediment control via gully plugging and improved plant calendar management in order to dramatically improve production in the selected communities. If confirmed during the PDF stage a possible solution could be to intensify agriculture using conservation farming, thus reducing the need for land under cropping, while also promoting alternative incomes from non-extractive activities. Considering long-term climate change impacts those SLM techniques and measures, which are most viable in the long run, will be identified, selected and piloted. This means CC adaptation will be mainstreamed into promoting SLM techniques. Entry points will follow the detailed root cause analysis in the PDF stage.

Outcome 2: Promote sustainable livelihood options

Under component 2 the project will focus on diversifying income through introduction and upscaling of non-farm activities such as beekeeping, crafts, etc. Promotion of marketing of excess produce to high-end consumers in urban environments will also play an important role. The development of public-private sector partnerships in production, sale and support of water management technologies (irrigation equipment, etc) will be promoted. Local companies will be used to promote sale of equipment and training provided for local artisans to provide maintenance and support. Considering long-term climate change impacts only those sustainable livelihood options, which are most viable in the long run, will be identified, selected and piloted. This means CC adaptation will be mainstreamed into promoting sustainable livelihoods.

Outcome 3: Improve Early Warning Systems and Mainstream Climate Change Adaptation into land use and development policies

This component focuses on establishing more effective and actionable communication of long term climate forecasts as well as imminent climate related hazards through strengthening of the government early warning system (particularly the flood forecasting and food security systems) and the relaying of this information in a timely and accurate manner to the community level where it can be acted upon by traditional leaders in cooperation with partners who can provide immediate inputs such as seeds and training. This will lead to increasing resilience of local agricultural systems, reduction of land degradation as well as livelihood security for the local population.

There is a need for timely, local early warnings both at the community and also national level. The project will carry out specific activities aimed at strengthening the institutional capacity of the agro-meteorological service and their links to user groups, which are tasked with synthesizing climate information. Currently access to and interpretation of relevant climate data is insufficient for long-range forecasting and early hazard warnings.

Furthermore, the project will improve the communication chain from the national to the local level ensuring that meaningful climate information, which is geared toward the agricultural systems practiced in the Shire Basin, is being received at the community and household level. This will allow farmers to take early action, including consulting local agricultural extension agents, purchasing drought or other appropriate seeds, locating appropriate inputs and the purchase of appropriate inputs for the forecasted season. It will also allow the small farmer to

participate in training on conservation or drought agriculture if available. Early mitigative action can only be taken when accurate information is provided in a way that small farmers can understand. The ability of people to take informed decisions securing their livelihoods in the face of climate risks rests upon the availability of timely and accurate information.

The project will also contribute to improve the communication of local stresses from the community to the appropriate regional and Government Ministries for early action and mitigation. Early identification of climate related hazards and risks allow the concerned ministries to increase appropriate pre-event mitigation and planning. Simultaneously, the agriculture extension agents are alerted and begin training seminars on drought resistant crops in conjunction with NGOs.

The climate change adaptation outcome of this project will also:

- Define the with and without adaptation component relative to the project baseline; the adaptation component will contribute to learning how climate change can be mainstreamed into the SLM focal area;
- Target the long-term measures (see below);
- Define the double set of indicators that will be used to demonstrate both increased resilience to climate change and increased global benefits in SLM due to the adaptation being piloted;
- Define a set of parameters for that best capture lessons learned for the ALM knowledge base with respect to adaptation (see outcome 5).

Outcome 4: Improve alignment of sector policies and institutional coordination

Under outcome 4, key activities will focus on working with:

- Policies at national and at district level (on policy content and implementation)
- Traditional authorities, and more recent Catchment councils
- Natural Resource Management Committees at village level
- Developing the Shire Basin Authority
- Agricultural, forestry and other extension workers and user groups

These activities will promote mainstreaming of the project activities and considerations into national agricultural and extension policies to ensure long-term sustainability of the project and further implementation of this pilot approach.

Outcome 5: Apply and share knowledge, monitor and evaluate

Under outcome five lessons that have been learned elsewhere will be screened carefully and applied during the implementation of the project, if appropriate. Impact monitoring systems will be put in place to extract knowledge and replicate and share across the country and region and beyond. Lessons will be disseminated on a regional and global scale, using the Adaptation Learning Mechanism (ALM) and the LD Knowledge Management efforts as relevant platforms. The impact monitoring system should distinguish between short and long-term measures. An example for the agriculture sector is given below. Similar matrices will be done for other sectors.

Sector	Short Term	Long Term	Both Short and Long Term
Agriculture	<i>Insurance Portfolio Diversification Adjusting Timing of Operations</i>	<i>Change Crop/Livestock Mix (including adoption of drought tolerant varieties) Irrigation (soft & hard</i>	<i>Promotion of Investment Developing markets, efficiency and integration Adoption of Technology</i>

	<i>Changing Intensity of Operations</i> <i>Changes in Tillage Practices</i> <i>Migration</i> <i>Using Seasonal Climate Forecasts</i> <i>Storage</i> <i>Off-farm employment</i>	<i>measures)</i> <i>Efficient Water Use</i> <i>Modernisation of operations</i> <i>Land tenure reform</i> <i>Migration</i> <i>Alternative livelihoods</i>	<i>Improving trade linkages</i> <i>Strengthening extension services</i> <i>Disseminating and using of climate forecasting information</i> <i>Institutional/Governance reform</i>
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6. Description of Preparatory Inception Stage

6.1. Expected Outcomes and Completion Date of PDF A project

The PDF A stage of the project will be used to develop the PDF B documentation, consult with stakeholders and collect missing information.

The PDF A phase will produce the following outcomes:

1. PDF B documentation, including annexes, as per GEF requirements
2. Consultation and agreement on approaches with key stakeholders
3. Preliminary identification of partners and co-financing

Methodologically the Adaptation Policy Framework (APF) will provide guidance for assessing current coping strategies, stakeholder involvement and following an adaptive capacity approach.

The PDF B phase will produce a GEF FSP project brief anticipating GEF funding of USD 5-6 million from LD and CC SPA (50:50).

6.2. Total Cost of PDF A (including co-financing amounts and sources)

The amount requested for the PDF A is USD 25,000. Co-financing for the PDF A phase will materialize as in-kind contribution from various NGOs (USD 2000) and Government Ministries availing staff and logistical support (USD 2000) and UNDP (USD 2000).

7. Total Work -plan and Budget

The PDF A process will last approx. 10 working weeks, anticipating a start date of 1 January 2006. An overall GEF budget of 25,000 USD and 6,000 USD co-finance are provided for.

7.1 Work plan

Key Activities	Responsible Party	Source of Funds	Budget/ Account Code	Time Frame
1. Recruit local NGO/ CBO	UNDP	GEF		Jan 06

2. Recruit international consultant	UNDP	GEF	71200 International Consultant	Jan 06
3. Stakeholder Workshop	UNDP	GEF	74500 Misc. operating expenses	Feb 06
4. Finalize Project Document	UNDP	GEF	71200 International Consultant	March 2006
5. PDF B Review Workshop	UNDP	GEF		March 2006

7.2 Budget

Award: tbd

Award Title: PIMS 2085 CC: PDF A Malawi, SLM and Climate Adaptation in Shire

GEF Outcome/Atlas Activity	Responsible Party	Source of Funds	Budget/Account Code	ATLAS Budget Description	Amount 2005 (US \$)	Amount 2006 (US \$)	Total Budget (US\$)	
Outcome 1: Compile PDF B documentation including consultation with key stakeholders	UNDP	GEF	71300	Local NGO	4000	3000	7000	
	UNDP	GEF	71600	Travel	3000	2000	5000	
	UNDP	GEF	74500	Misc. operating expenses	1000	1000	2000	
	UNDP	GEF	71200	International Consult.	4000	7000	11000	
		Sub-Total-GEF				12000	13000	25000

8. Management Arrangements

The PDF A project will be executed by the UNDP Country Office Malawi, using direct execution expedited procedures (DEX). UNDP CO Malawi, together with the Environmental Affairs Department and a consortium of five cooperating NGOs⁴, will form a project management taskforce to oversee and coordinate PDF activities and process. TOR for this task force are attached in Annex 1.

UNDP will contract international expertise to prepare the PDF B documentation (TOR Annex 1).

UNDP will contract a local NGO, to undertake the following activities (TOR in annex 1):

- To convene and facilitate a stakeholder workshop in the Shire Basin to finalize a detailed Threats / Root-cause and Barrier Analysis (see Annex 4)
- To convene and facilitate a final PDF B document approval workshop, with potential donor co-finance organizations
- To provide logistical, translation and local knowledge support to the International Consultant, including data search, and analysis

8.1 Roles and Responsibilities of the Parties, including financial and administrative modalities

The PDF A will be executed according to UNDP's Direct Execution Modality (DEX). The primary responsibility for financial and administrative management will be with the UNDP Country Office.

8.1.1 Information on Applicant Institution

The project is proposed by four NGOs: The Natural Resources and Environment Centre (NAREC) of the University of Malawi, the Worldwide Fund for Nature (WWF), the Miombo Network and CEDRISA. These partners are collaborating closely with the Ministry of Natural Resources and Environmental Affairs (Departments of Forestry Department, Energy Affairs, Environmental Affairs Department, Water and Wildlife), Ministry of Agriculture, Irrigation and Food Security (Land Resources Conservation Department), CURE, ESCOM, BWB, and the Forestry and Horticulture Department at Bunda College.

9. Monitoring & Evaluation

The project will comply with UNDP's monitoring, evaluation and reporting requirements, as spelled out in the UNDP Programming Manual.

10. Legal Context

This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government and the United Nations Development Programme. The host country-implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement.

⁴ These are NAREC, WWF, CEDRISA, CURE and Miombo Network

The UNDP Resident Representative in Malawi is authorized to effect in writing the following types of revision to this Project Document, provided that she has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) Revision of, or addition to, any of the annexes to the Project Document;
- b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document

11. Mandatory Annexes

- Annex 1: TOR for the taskforce, the international consultant and the local NGO,
- Annex 2: Government GEF Operational Focal Point Endorsement Letter,
- Annex 3: Acronyms

SIGNATURE PAGE

Country: Malawi

UNDAF Outcome(s)/Indicator(s): **UNDAF Goal: to contribute towards improvement in democratic governance, reduction of poverty, control mitigation of HIV/AIDS epidemic, based on human rights based approach**
(Link to UNDAF outcome., If no UNDAF, leave blank)

Expected Outcome(s)/Indicator (s): **Community efforts to reduce poverty and conserve biodiversity strengthened through sustainable land management and livelihood activities, community learning exchanges on adaptations to climate change**
(CP outcomes linked t the SRF/MYFF goal and service line)

Expected Output(s)/Indicator(s):

(CP outcomes linked t the SRF/MYFF goal and service line)

Implementing partner: **Environmental Affairs Dept., GoM, *(designated institution/Executing agency)***

Other Partners: **NGO Task Force *(formerly implementing agencies)***

Programme Period: Nov 05 – Feb 06
Programme Component: _____
Project Title: SLM and Climate Adaptation in the Shire River Basin
Project ID: PIMS No. 2085 _____
Project Duration: 10 weeks _____
Management Arrangement: NEX _____

Budget **GEF 25,000**
Allocated resources: _____
• Government _____
• Regular _____
• Other: _____
 ○ Donor _____
 ○ Donor _____
 ○ Donor _____
• In kind contributions 6,000 _____

Agreed by (Government): _____
Agreed by (Implementing partner): _____
Agreed by UNDP: _____

Annex 1: TOR for the International Consultant and Local Support NGO,

This project will be executed by a team comprised of an international consultant and a national consultant, NAREC. The team will work in close consultation with the other stakeholders in the project, namely WWF, CEDRISSA and the Miombo Network.

Under the overall supervision of the national GEF Focal Point and close consultation with the environment focal point in UNDP country office and the UNDP GEF SLM Manager, the consultants will take a leadership role in guiding the development of a PDF B GEF project proposal on Sustainable Land Management and Climate Adaptation in the Shire River Basin. The consultants will work in together in developing the PDF B. Specifically:

A) The national consultant (in this case – a local NGO) will:

- Familiarize him/herself with the operational criteria for the GEF funded sustainable land management.
- Produce a work plan with milestones for the two-three month PDF A project life in consultation with the international consultant.
- Identify, review and compile notes from relevant documents that identify both thematic and overall sustainable development priorities for Malawi such as Vision 2020, National Environment Action Plan (NEAP), the National Water Development Strategy, the National Disaster Preparedness a Management Plan, Malawi's First national Communication to the UNFCCC, the Vulnerability and Adaptation to Climate Change reports, the National Environment Action Plan, the National Environment Policy, the Decentralized Environment Management Strategy (2001) and reports to the Convention on Biological Biodiversity, Climate Change & Land degradation.
- Identify and contact a core group of stakeholders on the Shire River Basin from all relevant agencies and organizations.
- Organize a meeting to brief the key stakeholders input into the design of strategies and actions to be undertaken.
- Identify national expertise and resources in sustainable land management and adaptation to climate change and any missing information.
- In consultation with EAD organize a final consultative workshop of all players to finalize the content of the SLM and adaptation to climate change proposal to GEF.
- Prepare a final proposal and submit to EAD

B) The international consultant will:

- Produce a work plan with milestones for the two / three month PDF A project life in liaison with the NAREC.
- Review relevant documents from partners and national consultant team.
- Prepare materials for briefing the key stakeholders input on the design of strategies and actions to be undertaken.
- Develop a problem – root-cause – barrier analysis – with partners
- On the basis of the information provided suggest project sites.
- Identify co-financing arrangements for the PDF B.
- Develop a logical framework for activities
- Provide guidelines for identify national expertise and resources in sustainable land management and adaptation to climate change.
- Prepare a final proposal with partners, and submit to UNDP and EAD

Annex 2: Government GEF Operational Focal Point Endorsement Letter,

Teléfono: 01 773 115
Télécopieur: 01 773 299

Our Reference No: _____
Your Reference No: EA/1000000
All Communications should be addressed to:
The Director of Environmental Affairs



ENVIRONMENTAL AFFAIRS DEPARTMENT
LINDACHI BUILDING
CITY CENTRE
PRIVATE BAG 354
LILONGWE 3
MALAWI

21st November 2005

The Chief Executive
GEF 1818 H Street, N.W.
Washington D.C 20433
USA.

Through: The Resident Representative, United Nations Development
Programme, P.O. Box 30135, Lilongwe 3.

Dear Sir,

**ENDORSEMENT OF A GEF PDF A PROJECT INITIATION DOCUMENT
PROPOSAL ON "SUSTAINABLE LAND MANAGEMENT AND CLIMATE
ADAPTATION IN THE SHIRE RIVER CATCHMENTS"**

In my capacity as the Global Environment Facility (GEF) operational focal
point for Malawi, I hereby endorse the attached project proposal for funding
consideration by GEF.

The project will support the global environmental objectives by assisting
Malawians to adapt to climate change and reduce land degradation through an
integrated river catchments management approach.

I have consulted relevant stakeholders in Malawi including those in the
Government, Private sector, Civil Society and non-governmental organizations
as well as the academia and they are all in support of the project proposal.

I look forward to your positive consideration of this proposal.
Yours faithfully,


R.F. Kibwaza

**DIRECTOR OF ENVIRONMENTAL AFFAIRS
AND GEF FOCAL POINT FOR MALAWI**

- cc : The Secretary for Mines, Natural Resources and
Environment, Private Bag 350, Lilongwe 3.
: Mr. Allan Rodgers, Regional Coordinator for Eastern Africa:
UNDP/GEF, P.O. Box 30552, Nairobi, Kenya.
: Mr. Martin Krause, UNDP 351, Pretoria 0001, South Africa.

Annex 3: Acronyms,

ALM	Adaptation Learning Mechanism
EAD	Environmental Affairs Department
BWB	Blantyre Water Board
CC	Climate Change
CEDRISSA	Centre for Environment Development and Research in Southern Africa
CPD	Country Programme Document
CURE	Coordination Unit for the Rehabilitation of the Environment
ENSO	El Nino Southern Oscillation
ESCOM	Electrical Supply Company
FICA	Farmers Innovation and Community Academy
GEF	Global Environment Facility
LD	Land Degradation
NAREC	Natural Resources and Environment Centre
NEAP	National Environment Action Plan
NGOs	Non Governmental Organizations
PDF (A, B)	Project Development Funding (At A or B level)
SADC	Southern Africa Development Cooperation
SPA	Special Programme for Adaptation
SLM	Sustainable Land Management
TOR	Terms of Reference
UNCCD	United Nations Convention for Combating Desertification
UNDAF	United Nations Development Assistance Framework
UNFCCC	UN Framework Convention for Climate Change
UNEP	United Nations Environmental Programme
UNDP	United Nations Development Fund
WWF	World Wide Fund