



Global Environment Facility

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October 27, 2005

Dear Council Member:

I am writing to notify you that we have today posted on the GEF's website at www.theGEF.org, a medium-sized project proposal from UNEP entitled ***Regional (Kenya, Madagascar, Mozambique, Rwanda, Tanzania): Integrating Vulnerability and Adaptation to Climate Change into Sustainable Development Policy Planning and Implementation in Southern and Eastern Africa***. The GEF will contribute \$1,000,000 towards a total cost of \$2,255,000.

This project is designed to promote the integration of vulnerability and adaptation measures into sustainable development plans and planning processes through pilot demonstration projects in selected countries of Southern and Eastern African that have been facing increasing impacts of climate change.

The project proposal is being posted for your review. We would welcome any comments you may wish to provide by November 17, 2005, in accordance with the procedures approved by the Council. You may send your comments to gcoordination@theGEF.org.

If you do not have access to the Web, you may request the local field office of the World Bank or UNDP to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

A handwritten signature in black ink, appearing to be "L. Good", written in a cursive style.

cc: Alternates, Implementing Agencies, STAP

Medium-sized Project Proposal
REQUEST FOR GEF FUNDING



AGENCY'S PROJECT ID: N/A
GEFSEC PROJECT ID: N/A
COUNTRY: Kenya, Madagascar, Rwanda, Tanzania, Mozambique
PROJECT TITLE: Integrating Vulnerability and Adaptation to Climate Change into Sustainable Development Policy Planning and Implementation in Eastern and Southern Africa
GEF AGENCY: United Nations Environment Program (UNEP)
OTHER EXECUTING AGENCY: AFRICAN CENTRE FOR TECHNOLOGY STUDIES (ACTS), INTERNATIONAL INSTITUTE FOR SUSTAINABLE DEVELOPMENT (IISD)
DURATION: 3.5 years (July 2005 – Dec. 2008)
GEF FOCAL AREA: Climate Change - Strategic Priority for Adaptation (CC-SPA) with relevance to Land Degradation and Climate Change
GEF OPERATIONAL PROGRAM: N/A
GEF STRATEGIC PRIORITY: SPA
ESTIMATED STARTING DATE: October 2005
IMPLEMENTING AGENCY FEE: 9%

FINANCING PLAN (US\$)	
GEF PROJECT/COMPONENT	
Project	\$1,000,000
PDF A*	N/A
<i>Sub-Total GEF</i>	\$1,000,000
CO-FINANCING**	
GEF Agency	\$235,000
Government	\$220,000
Bilateral	\$800,000
NGOs	
Others (EAs)	10,000
<i>Sub-Total Co-financing:</i>	\$1,065,000
<i>Total Project Financing:</i>	\$2,065,000
FINANCING FOR ASSOCIATED ACTIVITY IF ANY:	

CONTRIBUTION TO KEY INDICATORS OF THE BUSINESS PLAN : (2005 -2007)

The goal of this project is to contribute to the mainstreaming of adaptation to climate change into development planning and implementation in southern and eastern African countries. The project will test adaptation measures in three countries and sectors which also generate global environmental benefits and follows from stage I and II adaptation undertaken through Enabling Activities for Climate Change.


This project contributes to the objectives of the UNFCCC and is consistent with the SPA operational guidelines as outlined in GEF/C.23/Inf.8/Rev.1. The activities and process of implementing this project will be instructive on the issue of *how to* mainstream vulnerability and adaptation to climate change into other activities in order to “climate-proof” them. The lessons learned from this project will be useful not only to the adaptation priority but for the GEF Portfolio as a whole. It will provide on the ground examples of integrating climate change considerations into both project and policy level exercises to effect policy changes and reduce vulnerability.

RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENT:

Date : (*Month, day, year*)

BAQUETE, Evaristo National Director of Environmental Management Ministry for Coordination of Environmental Affairs (MICOA) Maputo, Mozambique	24-09-2004
MOLLEL, R.O.S. Permanent Secretary Vice President's Office Tanzania	30-07-2004
MICHECKA, Ratemo W. Director General National Environment Management Authority Kenya	07-16-2004
NKUSI, Laurent Ministre des Terres, de la reinstallation ed de l'Environnement Rwanda	05-12-2004
KOTO, Bernard Secretary General Ministry of Environment and Forests Madagascar	N/A

This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for a Medium-sized Project.


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ACRONYMS

ACTS	African Centre for Technology Studies
AMCEN	African Ministerial Conference on the Environment
CGE	Consultative Experts Group for National Communications
DAC	Development Assistance Committee
EIA	Environmental Impact Assessment
GEF	Global Environment Facility
GHG	Greenhouse gases
IISD	International Institute for Sustainable Development
LEG	Least Developed Countries Expert Group
LDC	Least Developed Country
MEA	Multilateral Environmental Agreement
OECD	Organization for Economic Cooperation and Development
NAPA	National Adaptation Program of Action
NAP	National Action Plan (for UNCCD)
NBSAP	National Biodiversity Strategic Action Plan
NC	National Communication
NEAP	National Environmental Action Plans
NEP	National Environment Plan
NePAD	New Plan for Africa's Development
PMU	Project Monitoring Unit
PRSP	Poverty Reduction Strategy Papers
TOR	Terms of Reference
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
V&A	Vulnerability and Adaptation

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A. PROJECT SUMMARY

The project is being submitted under the Global Environment Facility's (GEF) new Strategic Priority on Adaptation (SPA). It will support countries in Eastern and Southern Africa to reduce their vulnerability to climate change as well as to mitigate land degradation and climate change. Specific sites and adaptation strategies will be identified through national implementation committees at the onset of the project. Sites will be chosen that are vulnerable to climate stresses.

The project is designed to respond to priorities that have been identified through National Communications and other relevant assessments, following the staged approach for adaptation. As none of the LDC countries in this project have completed their National Adaptation Programmes of Action (NAPA), the project is unable to respond to priorities identified in these assessments. **The project interventions are field-based** with strong policy components in order to respond to the criteria of the SPA to reduce vulnerability and mainstream adaptation into development planning. The mainstreaming of adaptation will occur at the project or field level as well as through integration of broader policies related to development priorities. These have been identified through the individual pilot projects described in this proposal, which directly occupy approximately seventy percent of the project resources. These pilots will achieve vulnerability reductions and global environmental benefits.

The three discrete pilot projects will be implemented under the umbrella project in order to increase regional learning with respect to natural resource management and policy processes, sharing of methodologies, efficiency of delivery and opportunity for replicability within the countries and in the region. Five countries are participating, three with field projects (Kenya, Mozambique, Rwanda) and two as observers (Madagascar and Tanzania). The three pilot project countries were selected following a regional meeting held in September 2004 to prepare this project. The five participating countries submitted workplans and proposals for pilots which were evaluated against the set of criteria contained in Annex 1. These criteria were selected to ensure consistency with the SPA and the project's objectives and policy component, and for their promotion of long-term sustainability.

The three pilots will generate global environmental benefits in the land degradation and climate change focal areas. Detailed indicators will be developed for each country workplan to ensure that the adaptation measures also contribute to protecting global environmental goods. The first activities under this MSP will be the establishment of the national implementation committees who will develop the detailed workplans based on the framework set out in this proposal. Rwanda will implement a project to better manage their micro-hydro potential against decreasing availability of freshwater resources; and Mozambique and Kenya will implement projects to mitigate land degradation and desertification as well as manage carbon sources through forest fire management.

Each of the field level pilot projects will have three components, guided by the overall project support. The first and largest component is a **field project** designed to reduce vulnerability and achieve global environmental benefits. Information on the methodologies and benefits to development will be collected from the field demonstrations to provide needed information to influence policy and the mainstreaming of climate change information into the selected policies. The field component needed by policy makers to integrate adaptation into a selected policy. Secondly, a component focuses on selecting the relevant local or national policy that the project will try to reform and working with policy makers to identify the gaps in the knowledge needed to encourage policy reform. Lastly, the process of mainstreaming will be undertaken by drawing significantly from the field of poverty and environment, to select appropriate entry points and tools for this integration.

Five technical papers have been prepared and will be used to guide the development of the workplans for each country pilot. The papers cover the relevant groundwork information needed to inform the project including the linkages between environmental issues and poverty reduction; regional climate change scenarios; and economic instruments and experiences in integrating environmental issues into development (see Table 1). This research and assessment work was completed during the preparatory phase of this project. The MSP itself will apply the background papers to the design and implementation work.

The approach that has been taken also includes a strong **regional capacity building** component. A **partnership** has been established between an international non-governmental organization (the International Institute for Sustainable Development - IISD) and a regional non-governmental organization (the African Centre for Technology Studies – ACTS). Together, both organizations have significant knowledge of the regional climate change issues and stakeholders, of the UN Framework Convention on Climate Change, and experience in managing and implementing climate change and development projects. The objective of this partnership will be strengthened institutional networks as well as regional capacity for project implementation.

B. Country Ownership

B.1 Country Eligibility

All participating countries have ratified the two relevant Conventions, UN Framework Convention on Climate Change (UNFCCC) and UN Convention to Combat Desertification (UNCCD).

Also, consistent with the staged approach to adaptation, the countries are at various points of undertaking Stages I and II adaptation (V&A assessments) through their National Communications and National Adaptation Programmes of Action (NAPAs) as well as participating in the GEF supported enabling activity for Assessments of Impacts and Adaptations to Climate Change (AIACC). The adaptation measures tested through this project will build on the enabling environment created through these required stages.

B.2 Country Drivenness

A workshop was held from September 15-17, 2004 in order to bring together the five countries involved in this project and to further refine this initiative to meet their objectives. (A full workshop report on the outcomes of the workshop may be found on the UNEP Climate Change website at http://www.unep.org/themes/climatechange/Focus_Areas/vulnerability_adaptation_activities.asp). The workshop and project concept were a result of discussions UNEP had with several of the participating countries who had requested support to mainstream climate into development planning.

Country drivenness has been ensured by using the meeting to present the project concept and background material, and then working with the country teams to prepare their workplans based on nationally-identified priorities. Three of the workplans were then selected based on their ability to address vulnerability to climate change, generate global environmental benefits and identify a policy process with which to work.

Relevance to National Priorities as summarized in the National Communication

Particularly relevant to this project is the information provided in National Communications on policy options for adequate monitoring systems and response strategies for climate change impacts

on terrestrial and marine ecosystems; policy frameworks for implementing adaptation measures and response strategies; and an assessment of national, regional and/or sub-regional capacity to integrate climate change concerns in medium and long-term planning.

Each participating country's National Communication indicates the importance of harmonising climate change with national sustainable development planning through various mechanisms such as increased scientific and analysis capabilities, institutional arrangements, stakeholder involvement, linkages with poverty reduction and over-riding development priorities. None of the National Communications provide detailed descriptions on how to achieve this integration and some pointed to the need for assistance in this area.

The following summarizes both the needs expressed for integration of adaptation into relevant policy, drawn from National Communications, as well as sectoral vulnerabilities appropriate to those being addressed in the proposed pilots. Information has also been drawn from the National Action Plans to Combat Desertification, NAPs, prepared under the UN Convention to Combat Desertification (UNCCD).

Kenya Pilot: Land Degradation Focal Area

In its 2002 Initial National Communications, Kenya also emphasizes the overriding priority of the country for poverty reduction and sustainable development, noting that, "it is expected that the existing industrial and economic gains will be eroded unless the country's resilience to climate variability and change is enhanced". Drought in particular is identified as an area of increasing concern for Kenya.

Kenya also noted the need to mainstream V&A concerns into its decision-making processes, specifically stating that one of its key challenges and responses "in view of the potential and real impacts of climate change [is the need to] integrate climate change concerns into the national planning and development processes. This would require wide ranging changes in government policies. For example, policy makers and planners will have to re-think conventional approaches. Environmental issues will increasingly assume a higher ranking, while economic and institutional measures and arrangements would have to be sufficiently flexible in order to adapt relatively fast to emerging trends or events. As the NC notes, "enhancing the adaptive capacity requires significant increased capacity in science and technology and formulation of policies that are sufficiently flexible and receptive to constant change."

The National Action Plan (NAP)¹ prepared through the UN Convention to Combat Desertification points to ongoing efforts to build scientific and technical capacity for monitoring climate change and prediction in the Kenya Meteorological Department have continued through the IGAD Climate Prediction and Application Centre (formerly Drought Monitoring Centre). Community involvement in adaptive research has improved transfer of technologies to the communities in Kenya though more support is needed for scientific and technical capacity for screening and applications of appropriate technologies and understanding which areas are most vulnerable. This project will help to address these needs by building scientific capacity for designing and applying appropriate technologies, increasing community participation and improving understanding how to address vulnerability in a drought prone area of Kenya.

Mozambique Pilot: – Land Degradation Focal Area

¹ National Action Plan to Combat Desertification, 2004, www.unccd.int

The V&A Studies identified forests as a vulnerable sector in Mozambique. Forests and other native vegetable formations cover about 80.0 million hectares, representing 78 % of the total surface area of the country. Fires cause considerable damage to the forest cover in all parts of the country. According to statistics from the National Directorate of Forests and Wildlife (DNFFB), 35% to 45 % of the Mozambique's forest area burns annually, reaching 70 % in some areas. In general, fires are caused by human activities such as agriculture, hunting and opening of the forest to drive away some animals. Sometimes these practices assume uncontrolled proportions, causing direct destruction of several available resources.

Studies show that the period with the largest occurrence of fires in Mozambique is towards the end of the dry period between August and October of every year, peaking in September. Fires are more common in the north of the country, reflecting the north-south gradient for precipitation, influencing the amount of available biomass.

Fire control requires a strong component of community awareness and a systematic monitoring from the responsible institutions. Mozambique is quite an extensive country and its control by inspectors on the ground is inadequate. However, there are modern methods available that allow remote monitoring of fires in real time. MADER through Cenacarta, has already a certain technical and human capacity for monitoring fires, using state of the art technologies, such as the products of MODIS instrument aboard EARTH satellite owned by NASA, which should be thoroughly explored and their products disseminated to a broader community of users.

Through the National Communications, the vulnerability issues identified for the forestry sector include: forest destruction, pressure for fuel-wood and construction materials, and, deforestation. Follow-up actions suggested in the National Communication include extending the training of communities in order for them to better respond to warning alerts about extreme events, as well the preservation of the environment, in this case, the management of forest fires. These priorities will be addressed through the proposed pilot project.

Through their NAP, Mozambique has also reported on the importance of the forestry sector in combating desertification as well as sequestering carbon through an afforestation projects supported through the UNCCD.

Rwanda – Climate Change Focal Area (Renewable Energy)

Management of water resources, soils and biomass are Rwanda's leading environmental challenges, and are intimately linked with actions in the water, energy and agricultural sectors. The primary objective of Rwanda's environmental policy will be to ensure that economic development is sustainable and does not destroy the natural resources on which it depends through full marshland drainage or inappropriate use of agro-chemicals. Environment is identified as a cross-cutting issue, meaning that an environmental perspective needs to be taken in each case, including energy.

Energy security is identified as a priority in the country's development plans. The government is presently preparing a strategic and regulatory framework to address urban and rural energy needs and to encourage private sector energy provision and distribution. This strategy will emphasize the efficient use of sustainable energy sources based on natural resources.

Madagascar- Observer to the project

Madagascar notes that its priority is, as a least developed country, rapid and sustainable development, consistent with its Poverty Reduction Strategy Paper (PRSP) and the Millennium Development Goals. Consequently, Madagascar's priorities in the area of climate change are to maintain the same potential for sustainable development in 2030 as exists today by preserving the current carbon sequestration capacity until this time, while at the same time intensifying actions to reduce poverty.

Tanzania – Observer to the project

Tanzania also notes in their initial National Communication that efforts are underway in the country to “ensure that climate change is being incorporated in development policies”. The report further notes that “the institutional framework for climate change issues should take into account the need for exploitation of sector synergies. In Tanzania, climate change studies have been organized in such a way that the relevant institutions responsible for the covered sectors are involved in one way or another.”

The report also describes Tanzania's National Environmental Policy, which “provides the framework for mainstreaming environmental considerations in decision-making processes in Tanzania. It provides guidelines on plans and priority actions, monitoring and evaluation. It further provides for sectoral and cross-sectoral policy analysis in order to achieve compatibility amongst among sectors and interest group. Sustainable Development requires the integration of environmental considerations into economic development policies and programmes”.

The report also describes in detail the country's medium and long-term planning priorities and policy objectives, many of which are related to vulnerability to climate change, such as the medium-term objective to “undertake investment in the infrastructure for rehabilitation and development”. Without considering climate change, the implementation of this objective has the potential to increase vulnerability by, for example, encouraging the development of flood plains or using insufficient building standards.

C. Program and Policy Conformity

C.1 Program Designation and Conformity

The project is being submitted under the GEF SPA. It will support countries by providing real experiences in mainstreaming adaptation into relevant policies by reducing vulnerability to climate change and thereby ensuring a more sustainable development pathway. The project qualifies for the SPA because it generates global environmental benefits in the GEF program areas of land degradation and climate change, with some relevance to biodiversity in the case of Kenya and Mozambique.

C.2 Project Design

Rationale for Overall Scope of Project and Description of the Problem:

Africa is indisputably recognized as one of the regions most vulnerable to the impacts of climate change. The Intergovernmental Panel on Climate Change (IPCC) highlights six specific areas where the continent is most likely to feel the greatest sustainable development challenges due to a changing climate: water resources, food security, natural resource productivity and loss of biological diversity, vector and water borne diseases, vulnerability of coastal zone infrastructure and exacerbated

desertification due to decreased rainfall and intensified land use. This project will work to reduce vulnerability in three areas that are currently experiencing stresses due to climate variability and which are likely to continue with longer term changes.

Geographical location, widespread poverty, high dependence on natural resources, health burdens such as malaria and HIV/AIDS, conflict and external trade dependencies and high levels of foreign debt are all underlying development challenges that exacerbate many countries' ability to respond to changes in climate and hence render them more vulnerable. The poor are often the most at risk because of their heavy dependence on natural resources for survival and few alternatives to turn to in times of environmental stress, as is demonstrated in times of food insecurity. For these reasons, it is important to integrate considerations of the additional burdens of a changing climate into policies which are climate sensitive or, in other words, policies and practices which can exacerbate vulnerability to climate change or which can be used to increase adaptive capacity.

Adaptation itself is not a sector such as water or agriculture, but rather an approach to improved natural resource management planning and overall sustainable development. Also, climate change is often called the ultimate sustainable development challenge as it forces decision makers to risk manage for the survival and well-being of future generations. For these two reasons, many of the interventions required to reduce vulnerability needs to be seen in the context of development planning and, vice versa, development planning must consider the future environment in order to ensure that interventions and investments made will persist in a future which hosts a different environment.

Baseline Scenario

A 2002 World Bank study of Poverty Reduction Strategies and the Environment noted that environment, including vulnerability to climate change, is not sufficiently considered in poverty reduction strategies. However, although often not considered as "environment" issues, agriculture and energy are identified as high priorities for many countries (OECD, 2003), including the five East and Southern Africa countries included in this project. In the absence of this project, energy and agriculture/forest management will continue to not consider the impacts that climate change will have on these systems and may have the adverse effect of exacerbating vulnerability.

Rwanda (Climate Change)

In the case of Rwanda, the project will focus on integrating climate change vulnerability into micro-hydro developments through both the national policy and a rural micro-hydro site. The objective of the government in the energy sector is to expand and diversify energy supplies at competitive costs, promote the efficient utilization of Rwanda's energy resources, and minimize potentially adverse environmental impacts. Achieving this goal is made more challenging by the fact that in Rwanda, as in the rest of East Africa, hydro-power potentials have been falling due to increased frequency and intensity of drought.

At present Rwanda relies heavily on energy from biomass (fuelwood) and fossil fuels. They are interested in enhancing the use of micro-hydro power but are and will be restricted by declining availability of hydro-power potential (decreasing river flows). In the absence of the project, they will not be able to identify how to enhance micro-hydro potential in the face of climate change, and therefore will increase use of traditional sources (fossil fuels and biomass), both of which contribute to GHG emissions (climate change baseline). Moreover, in the baseline scenario, without other reliable sources of energy, deforestation for fuelwood in rural areas will undermine adaptive capacity.

In the baseline scenario the rural areas will continue to rely on unreliable grid electricity and diesel gensets for electrical power. This will have both local and global implications. Combustion of bunker fuels and operation of diesel gensets generate GHGs. In most countries the overall national generation capacity is lower than demand. With the current sharp increase of fossil fuel prices, which eventually will also lead to higher electricity tariffs, it is only logical to expect that Rwanda will consider alternative options.

Kenya (Land Degradation)

The pilot project for Kenya specifically looks at increasing community resilience to drought. At present, farmers and herders in east Africa generally lack the capacity to cope with climate-change induced droughts and their livelihoods are threatened by continuing degradation of land resources. Due to this increasing stress, in the absence of this project, farmers will continue to encroach on marginal drylands, resulting in further loss of soil productivity and ecosystem instability. Further, poor land-management practices in these vulnerable areas can reduce the loss of carbon stocks above and below ground, thereby reducing soil productivity and releasing greenhouse gases. This will result in both increasing vulnerability and contributing to carbon releases to the atmosphere (*land degradation baseline, OP12/15*).

The loss of ecosystem stability, soil structure and functional integrity can lead to rapid loss of ecosystem services; disruption of hydrological functioning of catchments and resultant loss of basic flows in watercourses and groundwater recharge.

The impacts of climate change on species and ecosystems are subtle, accumulative, long term and not well understood. What is clear, however, is that destruction of forests and soil degradation make significant contributions to climate change by reducing carbon stores and increasing atmospheric emissions and that many of the factors determining carbon release are influenced by land management practices. Whilst estimates for loss of carbon through land degradation in the region are not available, it can be assumed that the significant loss of vegetation cover in both protected and agricultural areas has resulted in substantial losses in carbon storage and sequestration potential.

Poor agricultural practices such as cultivating steep slopes, over-grazing and intensive cropping without adequate inputs have resulted in declining soil fertility. Loss of topsoil through erosion compounds the problem, and leads to high silt loads in water courses and degradation of ecosystem services such as water catchment capacity, nutrient cycling and carbon sequestration. Crop intensification combined with the incapacity of farmers to provide inputs, such as organic matter to replenish nutrients and erosion control structures, causes further degradation in soil condition and landscape processes.

The National Action Plan (NAP) prepared has also identified that the region targeted in this project, Makeni, is a southern rangeland area vulnerable to drought and desertification with high levels of poverty (73%) and unemployment (30%). Any further stresses in this area due to climate change will have a severe impacts in this area and risk management strategies are needed to ensure livelihoods.

Mozambique (Land Degradation)

The pilot project for Mozambique follows a similar baseline scenario as above but will address the GEF Land Degradation area for piloting or demonstration innovative activities aimed at preserving viable indigenous forest and woodland management systems. According to FAO statistics, fires are increasingly damaging the world's forests, destroying millions of hectares of valuable timber and

other forest products every year, with 2003 being one of the worst in history, coinciding with increased average temperatures globally. The worst fire hazard area in the world is sub-Saharan Africa, where more than 170 million ha are burning annually. Around ten percent of these fires are necessary for the ecosystem. The main causes for fire outbreaks in rural areas are land clearing by farmers in developed and developing countries, including shifting cultivation; burning of residues and waste; and using fires for hunting and honey collection (to chase out the bees from their nest). Most fires burn out of control as farmers lack the skills to contain them. This problem will become larger in the future as climate change progresses, putting more strain on limited resources. Without this project, Mozambique would not integrate considerations of the impacts of climate change in forest fire management and new areas of fire prone areas would go uncontrolled (*Land Degradation baseline*).

Further, repeated fire occurrences have altered structural and species diversity and encouraged establishment of invasive species. Fires have degraded large areas of both plantation and indigenous forest areas. Many fires are deliberately lit, sometimes by hunters, arsonists or from land preparation activities within and outside forest areas. Some fires have occasionally spread to areas difficult to access where they smoulder for days and are difficult to extinguish (*relevance to biodiversity*). There is much ongoing research linking climate change and forest fires², as both a source of greenhouse gases and as a factor in decreased ecosystem stability, hence vulnerability. Despite the devastating effects that fires can have, they often serve to rejuvenate forest productivity. However, increases in forest fires are also predicted with increased °CO₂

Alternative Scenarios:

In light of this baseline situation, the project will integrate vulnerability and adaptation into both the field level activities and relevant policies, responding to countries request for practical experiences in these areas. This project will test and design adaptation strategies which reduce vulnerability and integrate climate change into national energy planning in Rwanda, local drought management strategies in Kenya and forest and land management in Mozambique.

For each of the three pilot countries, the detailed national workplans will be developed as a first activity in this project. The structure of the pilots, as well as the preliminary workplans prepared by the countries at the design phase, are attached in Annex V. These initial workplans outline the sector, a general site for the fieldwork and the policy being targeted through the mainstreaming exercise. A field site has yet to be identified in the case of Rwanda which has not begun to consult on site selection. A national implementation committee will oversee the activities in each country with support from the executing agencies. Below is a summary of the three pilots which represent the additionality of this project to the baseline conditions.

Specifically, the project will seek to achieve the following in each of the selected pilot project countries:

Rwanda: Pilot Project on Reducing the Vulnerability of the Energy Sector to the Impacts of Climate Change: The objective of this project is to improve the management of the micro-hydro

² Flannigan et Al. Forest Fires and Climate Change. 2000, In: The Science of the Total Environment 262(2000) 221 -229.
Masood, E. 2005. Climate Change Fuels Forest Fire Variations, In: SciDev
van der Werf, G. et al.. 2004. Continental-Scale Partitioning of Fire Emissions During the 1997 to 2001 El Niño/La Niña Period, In: Science: Vol. 303, Issue 5654

potentials in (region) of Rwanda and to identify the causes for reductions in water potentials across the country. A demonstration project will test options for preserving hydro-potential and also seek alternate sources of energy where hydro plants are too vulnerable due to both land-use practices and changes in rainfall and temperature. Further, the GEF project will work with communities to deliver alternate sources of energy to the poor in order to reduce pressure on forests for fuel wood, often a major cause of disruptions in river flow. Finally, the project will seek a revision of the national energy strategy to ensure consideration of vulnerability to climate change in the site selection and energy technology, which they would otherwise not have the capacity to do. The Ministry of Energy will lead the project with relevant stakeholders, including the private sector, civil society and the affected communities, faith-based organizations, public sector and donor organizations.

Severe deforestation during the 1990s has severely degraded the soils, resulting in drought and floods/landslides. Deforestation continues as energy needs are being met by timber, often illegally harvested, especially in rural areas. Maintaining small hydropower supplies and alternative sources of energy will remove pressure from forests and increase the ecosystem's natural capacity to regulate itself against changes in climate. The creation of incentives for communities to avoid deforestation is also a determining factor in the success of appropriate land management for vulnerability reduction. The GEF alternative seeks to relieve the pressure on forest resources by meeting energy needs with reliable sources on renewable energy. The additional impact initiated by this project include reduced deforestation and greenhouse gas emissions.

A methodology and project design will be finalized within the first few months of the project, drawing from the technical expertise of the Climate Change PDF-B on Greening the Tea Industry in East Africa. However, a proposed method for reducing vulnerability can be achieved by introducing a few simple, though creative (and replicable across the country) methodologies. First, a practical methodology for Rwanda to assess water flows taking into account future climate scenarios. There are few models which can be used do this. Secondly, establishing a management system that economically links upstream communities to secure proper watershed management. Thirdly, introduction of more efficient turbines and lastly a system to manage a pricing mechanism to ensure sustainability. All these elements can ensure a successful micro-hydro project which has the potential to replicate.

Rwanda Pilot Project Indicator Global Environmental Benefits: Improved management of micro-hydro potential to increase resilience of clean energy supply. This will also provide ancillary benefits to carbon sequestration through decreased pressure on fuelwood for energy.

Kenya: Pilot Project Design: Increasing Community Resilience to Drought in Makeni District: The objective of this project is twofold: 1) to reduce community vulnerability to drought exacerbated by climate change in the Makeni District by implementing a field demonstration project to produce tangible benefits to the community, and 2) to gather information from the field related to the needs of policy makers in order to effect changes in relevant policies, in particular the ASAL Development Programme and draft disaster management policy. The work will be carried out jointly with the Kenya National Academy of Sciences (KNAS), African Centre for Technology Studies, Arid Lands Management Programme under the Office of the President (which coordinates Drought Management in Kenya), Representatives from the Ministries of Water and Irrigation, Agriculture and Rural development at the district level, The Kenya Food Security Group (KFSG). A local community based organization will be identified as well.

Drought and subsequent famine continue to be an important challenge to sustainable development in Kenya. The project will design and test strategies to increase adaptive capacity at the community

level to improve the security of local livelihoods by creating larger “buffers” or safety nets in order to manage climate risks. This is additional to existing work in this area as longer term risk management is not systematically applied. The pilot project will seek to make the case for more systematic consideration of climate risks in the choices that are made in rural development programs.

Strong linkages are being established with the Kenyan Arid Lands Resource Management project (ALRMP) on which this pilot-project will piggy back. This will also ensure that vulnerability to climate change is truly integrated into broader development initiatives on the Kenyan government.

The Kenya Food Security Steering Group(MoA, WFP, FEWNET, OOP) (2003-4) carried out Livelihood vulnerability assessments in each district in Kenya in the form of livelihood zoning activity, effectively establishing a database and maps on key food security related information and baseline (socio-economic mapping) up to sub-locational level

Some of the indicators used in the ALRMP drought early warning system include:

- Rainfall
- Access to water
- Forage situation
- Livestock prices
- Cereal Prices
- Migration patterns
- Sources of income
- Milk production and consumption
- Coping strategies

The analysis of livelihood database will help to reinforce the choice of the project for group to piggy-back on. This previous assessment work will be used to move towards application in the field. The GEF funded project will therefore not undertake detailed studies but rather undertake a scoping exercise and apply existing information to adaptation interventions.

The proposed tentative projects identified during the preparatory phase of this project include:

1. Rainfed Mixed Farming Agriculture
2. Seed Banking

Rainfed Mixed Farming Agriculture

This was identified as one of the most vulnerable livelihoods in Makueni. However, it was agreed that the group would use the KFSSG vulnerability assessment database to rationalise this choice.

Some of the areas of interest in this project include:

- constraints to livelihoods;
- coping strategies;
- assistance to cope;
- diversification;
- linkages with the food industries.

The link to national policy revolves around:

- timing of operations;
- training on variety;
- use climate to advice on timing and other conservation activities.

Seed Banking vis-a-vis Agro-forestry

Seeds appear to be a key issue determining vulnerability to drought in Makueni. The main crops are pigeon peas, maize, beans, cow peas and millet. Appropriate seed varieties need to be identified that can survive/adapt to climate variability and change.

Thus there is need for quality seed selection and preservation, and this is covered by the national policy on Appropriate Seed Variety.

- National policy includes:
 1. Timing of operations is key in rainfed agriculture (i.e. time of planting or variety to plant); and
 2. Water and soil conservation techniques.
- The Adaptation Project will seek to show the viability and sustainability of national policy at the community level and this can then be replicated for other communities in order to better inform policy.
- It was agreed that whatever project is chosen it must and should aim at sustainability and ownership. Holding participatory stakeholder meetings with the local communities is one way of instilling ownership. While training farmers is one way of ensuring sustainability.

Kenya Pilot-Project Indicator for Global Environmental Benefits: Improved strategies in place to manage land degradation and establish sustainable land use and management practices including ecosystem function, carbon storage, and watershed integrity.

Mozambique: Pilot Project on Community-Based Fire Management strategy (CBFM) in Central Mozambique: The objective of this project is to develop a Fire-Management Strategy and for its adoption by local and national decision makers. The emphasis here is in the development of a policy for an environmental problem that is being exacerbated by climate change as moisture levels fall and temperature increases. This project is being proposed as an add-on to an existing and ongoing project supported and executed by the German Development Corporation. The existing GTZ project is a rural development program that includes a disaster risk management component for floods and cyclones and the integration of disaster risk management into district planning. A second component of the project introduces climate change considerations and assessments into the flood and cyclone management strategies. The existing structure, including stakeholders, technical experts, and decision making process, are applicable to the expansion of existing activities to include the proposed demonstration project. An important component of this project will be the connection with the African Network on fire-management and satellite data for fire monitoring in South Africa.

The project in Mozambique will improve forest fire management to include the explicit monitoring of changes in climate as they relate to incidences of forest fires. The unpredictability of forest fires are related to changes in temperature and precipitation, often in areas not previously exposed. This is particularly dangerous as unexposed local communities do not have the capacity to manage forest fires. Loss of biomass in this way is also the main contributor to global climate change through the release of greenhouse gases, as is noted in the GEF Strategic Priority for the improved management of carbon stores in dryland management. An important component of this project will be the connection with the African Network on fire-management and satellite data for fire monitoring in South Africa to improve the forecasting of fires.

There will also be linkages with OP# 3 on Forest Ecosystems which supports protection of primary/old growth and ecologically mature secondary forest ecosystems by strengthening systems of conservation and sustainable use of the biological resources in the forests ecosystem.

The proposed GEF project will piggy-back on a broader rural development project currently being implemented by the GTZ. This broader development project, PRODER, is a multi-year rural development program. The sub-component on which this MSP will build is focused on forest fire management in the central Province of the country. The proposed GEF project will add on to the existing institutional structure and field work already taking place in the field.

Mozambique Pilot Project Indicator Global Environmental Benefits: Improved management of carbon sinks and ecosystem integrity to reduced vulnerability to climate change-induced forest fires.

GEF Contribution to Mainstreaming V&A into Development

Consequently, the challenge of mainstreaming adaptation into development planning will, through the general design of the overall project address the baseline gaps by:

- Emphasizing a learning by doing approach where practical exercises will build the capacity of national climate and non-climate experts to assess and develop integrated and coordinated policy responses to vulnerability to climate change. The project is designed using a partnership approach that will build capacity of African institutions to implement adaptation projects;
- Bringing together climate experts and policy analysts to interpret climate information in a language that can be used by policy makers and decision makers, such as contributing to poverty reduction and sustainable development strategies;
- Relating V&A to priority sectors of importance to the countries, such as agriculture, forest management and energy;
- Working from the starting point of understanding current vulnerability and well-being of communities in order to develop adaptation strategies with ancillary benefits that will promote sustainable livelihoods and sustainable development in the future, and;
- Focusing the field projects so that policy relevant information is generated and presented to policy makers in a non-climate change language appropriate to their needs. The field projects are intended to demonstrate the benefits to decision makers of including greater risk management, in the context of a changing climate, in order to secure investments in development and growth in the country. This entire process (field work, policy work) constitutes a single pilot project (see Annex V for a schematic). Three pilots are implemented through this larger umbrella project.

PROJECT OBJECTIVES, OUTPUTS AND OUTCOMES

The high level goal of this project is to reduce vulnerability of countries to the impacts of climate change.

Objective: The objective of this project is to mainstream adaptation to climate change into development planning in the participating countries that are facing increasing impacts from climate change to ensure that vulnerability is reduced and maladaptations avoided. This objective will be supported by the following three outcomes:

Outcomes:

1. Capacity is generated for implementing adaptation measures in the field in three countries.
2. Increased capacity to generate and use information about climate change to affect change in relevant policies.
3. Knowledge is increased of the linkages between development planning and climate change, including policy process and methodologies.

These outcomes will be achieved through the implementation of the three pilots along with the participation of the two observing countries, who will benefit from the knowledge and capacity building to undertake similar exercises in the future.

Outcome 1. Practical experience in testing adaptation measures in the **field** in three countries is generated and capacity enhanced.

Main Output: Three field level adaptation projects are designed by national implementation teams and implemented collaboratively with relevant stakeholders to achieve reductions in vulnerability in areas of global significance.

Activity 1: National Implementation teams are created and overall project implementation structure is finalized. Identify key organizations, and individuals directly involved with policy implementation and undertake awareness raising, workshop, determination of needs. Committees established with terms of references.

Activity 2: Countries select and design their focus area, such as integration into sectoral policies (agriculture/water) or, macro-level policies, such as overall sustainable development priorities based on policy receptiveness and opportunities for integration.

Pilot-Project Implementation: This consists of three separate components, as described in Annex IV. The field component (Activity 3), the selection and engagement of the relevant policy and policy makers (Activity 5) and the upscaling of information collected from the field to influence policy (Activity 6). Also see the budget in Table 5 for allocation of budget to each of these components.

Activity 3: Field Project Implementation: After the detailed implementation plans for each pilot project is developed, three projects will be implemented, as per the design in Annex 3 and 4, over a three year period.

- Activity 3.1: Rwanda micro-hydro management (build onto PDFB: Greening of the Tea Industry, site to be chosen during this phase)
- Activity 3.2: Kenya: Drought Management in Makeni District (to build on ALRMP)
- Activity 3.3: Mozambique: Improving capacity to manage climate change related forest fires (building on baseline project through PRODER)

Outcome 2. Increased capacity to generate and use information about climate change to affect change in relevant **policies**.

Main Output 1: Information, tools and knowledge developed and used to mainstream adaptation to climate change into sustainable development planning

Activity 4: Translating Adaptation into Reality: a series of country-specific tools relating adaptation to other sustainable development issues such as assessing the cost of climate change to economic growth, climate change natural disasters and infrastructure development, building climate uncertainty into water resource management, focus on developing implementation plans, etc. These activities will be designed specifically to support the pilot-projects and needs of observer countries

Five technical papers have been drafted as a first step of the project preparation, as identified in Table 1. These papers provide information on regional climate change impacts, policy tools and processes (or “entry points” for mainstreaming), and experiences and challenges specific to integration of climate concerns into broader objectives of sustainable development. They will be used when developing the three country level projects. A number of experts were contracted in the area of climate change/environment and development as well as from the broader (non-climate change) development policy community to prepare these papers and may be used to assist in the implementation of certain activities in the implementation of this project.

Table 1. Technical Papers Prepared to Inform the Development of the Project

Paper No. 1 - Climate Change and Sustainable Development
Paper No. 2 - Climate Change Scenarios and Vulnerability Assessments for Selected Countries in Eastern and Southern Africa
Paper No. 3 - Vulnerability, Adaptation and Poverty Reduction
Paper No. 4 - Mainstreaming Environment Into Development Planning
Paper No. 5 - Tools and Methodologies for Mainstreaming Vulnerability and Adaptation to Climate Change into Sustainable Development Planning

See http://www.unep.org/themes/climatechange/Focus_Areas/workshop.asp

Activity 5: (Policy Engagement) Increased dialogue and improved communication between climate and relevant non-climate experts is promoted through the collaborative development of tools and knowledge (i.e. papers in Table 1), joint implementation of the project, and meetings. This will happen in relation to activities undertaken in Activities 3 and 6 below.

Activity 6 (Upscaling): An assessment of policy needs is undertaken to inform the design of the field project. This will serve as input to the design of the field project to ensure that the appropriate indicators are selected to measure results which are needed to influence policy (i.e. financial impact of project on food security). Policy makers involved in the relevant policy are engaged through the national implementation team and project steering committee.

- Activity 6.1: Policy reform for Rwanda’s energy policy
- Activity 6.2: Policy review and revision for Kenya’s rural and drought management policies
- Activity 6.3: Mozambique: Introducing climate change vulnerability to affect local forest fire management strategies

Activity 7: Assessment will be done of how vulnerability reduction is being addressed through the selected policy. Based on the papers above and regional expertise, the process by which the mainstreaming exercise will take place will be developed and implemented. This generally will

involve identification of the policy, the information needs and the policy tool and entry point. Examples include as cost-benefit analysis, environmental impact assessments, expenditure frameworks and institutional frameworks. Risk factors and barriers will also be identified at an early stage. Primary amongst these may be implementation capacity in the country.

Outcome 3. International community gains understanding of the linkages between development planning and climate change, including policy process and methodologies.

Activity 8: A regional meeting will be organized to bring together development planners and analysts from development agencies and from developing countries who are involved in the project or have relevant expertise. The intention is to target the non-climate experts, such as agricultural policy makers, in order to increase understanding in this community of the challenges that climate change may pose in their area and, more importantly, to come to common solutions on how to address them. The regional meeting will be held specifically to assist in the design and implementation of the project and to address identified gaps in regional expertise, rather than by country.

The goal of the meeting will be to (1) assess needs and gaps in the area of mainstreaming of adaptation to climate change, (i.e. what do decision makers need to know in order to adopt approaches that consider adaptation); (2) to work on draft tools and papers developed, and; (3) to discuss areas for collaboration and collaboration networks. International partners will be invited as well with a view to broadening the discussion and informing the efforts of agencies to mainstream climate change into their respective programs.

Activity 9. Information will be collected on donor requirements and priorities, opportunities and barriers, information on requirements and priorities, channels for technical and financial assistance, including but not exclusive to climate change programs. A presentation of the synthesis of the project will also be prepared for workshops. Lessons learned will be distributed through the grey literature to international stakeholders.

Activity 10. A plan will be put in place to monitor the project during its duration, at its termination, and two years after its termination to assess result and lessons learned from the adaptation pilot-projects.

Activity 11. A website has been established for the project and will be continuously updated with project information and technical papers.

Activity 12. A final report for the project will include a collection and assessment of lessons learnt

Table 2. Estimated Project Implementation Schedule

Activity	2005			2006				2007				2008			
	J/A	S/O	N/D	J/M	A/J	J/S	O/D	J/M	A/J	J/S	O/D	J/M	A/J	J/S	O/D
A.1															
A.2															
A.3 Field															
A.4 (2004)															
A.5 Policy															
A.6 Upsacling															
A.7															

populations. Public consultation will be an element of work built into the design of the individual pilot-projects and individual interested parties will be identified at the initial workshop.

The project activities will also make use of stakeholder consultations being undertaken through enabling activities. Information flow will be possible both ways: to inform the national communications by addressing needs expressed through this process, and, by using information gathered through this exercise to guide the implementation of the project. Likewise, public involvement features dominantly in the guidelines for the preparation of NAPAs, which many of these countries are at the early stages of preparing. These activities will be utilized as well to consult with relevant stakeholders as much as possible.

The project will be “translating” vulnerability and adaptation concepts for non-scientists and climate change experts. This means putting the issues into lay terms to which most people can relate, such as the relationship to standards of living or income generation. Products will be distributed to the public and forums for interested parties, especially at the community level, will therefore also be built into various stages of the project.

The involvement of the donor community will also be essential to understanding the external barriers countries may face in adapting to climate change, and to work in partnerships to overcome these. Moreover, in addition to mainstreaming adaptation into developing country organizations, country partner dialogues are also important to raise awareness about climate change in donor programs so that channels for assistance are thereby created.

Resource persons and information are derived from both the risk and vulnerability to climate change communities and from those non-climate change experts with an intimate understanding of national sustainable development planning relevant to the region. This will also enable the project to draw in individuals and organizations from the non-climate community, which is an essential in a mainstreaming exercise.

C. 6 INCREMENTAL COST ASSESSMENT

The root causes of vulnerability to climate change are partly due to multiple baseline development factors such as high levels of poverty, poor infrastructure, geography, lack of savings and financial buffers such as insurance. Global climate change is a serious challenge as it presents an additional stress which further degrades investments in development, especially in particularly fragile regions and sub sets of the population that are more vulnerable to changes in the environment. While some changes in climate is a natural phenomenon, it is the rates at which climate is changing that is attributable to human causes. It is this unprecedented rate and degree of changes in the climate which are becoming increasingly difficult to manage and require changes in the ways that we plan and design our activities.

Further, a rapid assessment of one of the major causes of vulnerability in many countries are high rates of deforestation, leading to increased run-off and land-slides, reduced rates of groundwater recharge, sandstorms due to loss of windbreaks which trees provide, and higher temperatures in micro-climates because of loss in canopy cover. At the same time, climate change is predicted in many cases to exacerbate these losses further by increasing rates of evapo-transpiration and evaporation, and by reducing precipitation in some areas and decreasing precipitation in others.

Deforestation is also one of the primary contributors to greenhouse gases emissions from the lesser-developed countries. Measures to address vulnerability due to deforestation will also have the global

environmental benefit of sequestering carbon and nitrogen, thereby reducing greenhouse gases in the atmosphere.

The three pilot projects provide global benefits in the areas of land management and climate change emissions reductions, as outlined in Table 4. Also see Table 4 for GEF financial increment.

Table 3. Incremental Cost Analysis for three pilot-projects

KENYA – Land management

Baseline	Additional Activity Related to UNFCCC and GEF
Land management practices increase vulnerability to climate change	Risk management perspective is applied to local level land management practices
Land management practices do not maximize carbon sequestration potentials	Minimum or no -tillage farming is introduced to reduce GHGs
Deforestation of biodiverse forest for fuel and agricultural land releases GHGs, reduce productivity of soil and water retention properties of soil, and endanger significant forest species	Land/forest management practices are introduced to reduce pressure on forest and reduce drought and desertification.

RWANDA – Greenhouse Gas Mitigation

Baseline	Additional Activity Related to UNFCCC
Energy generated from small hydro-power is reduced due to lower potential in river flow, leading to fossil and bio-fuel replacements	Micro-hydro potential is preserved
Land management practices reduce runoff of rivers	Land-management practices contribute to preserving cleaner energy capacity
Micro-hydro sites are selected in areas particularly vulnerable to climate change	Synergies are created between land management, vulnerability to climate change and mitigation of greenhouse gases

MOZAMBIQUE

Baseline	Additional Activity Related to UNFCCC
Communities are exposed to losses due to forest fires from increased temperatures and lower ambient moisture levels	Communities develop strategies to make them less vulnerable to losses from forest fires
Greenhouse gases are released into the atmosphere through forest burning	Carbon is sequestered through reduced burning and disturbances to above and below ground biomass
New land management practices do not take into account increased climate fluctuations and develop inappropriate coping methods.	Adaptive management strategies and longer-term and plan for current and future changes in environmental conditions

D. MONITORING AND EVALUATION PLAN

UNEP, as the co-ordinator of the Consortium, will monitor progress and establish a mid-term report on the basis of contributions and inputs received from Consortium members and collaborating organisations. UNEP, in close collaboration with the Consortium members and collaborating organisations, will prepare the terminal report and the submission of the agreed outputs to the GEF.

UNEP will submit quarterly project expenditure accounts and final accounts for the project, including all sub-projects, showing the amount budgeted for the year and, separately, the unliquidated obligations. The Consortium members and collaborating organisations shall submit to UNEP quarterly sub-project expenditure accounts and final accounts for the sub-project, showing the amount budgeted for the year and, separately, the unliquidated obligations.

The execution of the activities of the project will be monitored through semi-annual progress report to UNEP/DGEF and a final report upon completion of the project. The overall progress of the project implementation will be assessed by the Steering Committee through the analysis of achievement of results based on the quantitative and qualitative indicators related to the activities as spelled out in the logical framework. The Coordinator of the Consortium, UNEP, will report to Parties to the UNFCCC at its 11th Conference of Parties and those subsequent to the end of the project. Furthermore, UNEP/DGEF, based on the conclusions of the project Steering / Co-ordinating committee who will meet at the end of the project for the validation of the project results will report to GEF. The Committee members and experts-trainers who attend the workshops will evaluate them and will judge the usefulness, impact and outreach of the contents and issues selected. An on-line publication will be prepared to consolidate the papers created and the tools developed for the pilot-projects. These will also be distributed to the UNFCCC Secretariat and all country focal points.

The UNEP Evaluation and Monitoring Unit will arrange an independent external evaluation of the project at completion of the project. A post-project evaluation of the sustainability and vulnerability reduction will also be completed in order to contribute to learning on adaptation and to contribute to the successful design and implementation of subsequent adaptation activities. The evaluation of the project will be based on the indicators outlines in the LFA and on the delivery of the outputs listed in Annex .

A. Execution performance. Execution monitoring will assess whether the management and supervision of project activities is efficient and seek to improve efficiencies when needed so as to improve overall effectiveness of project implementation. It is a continuous process, which will collect information about the execution of activities programmed in the annual workplans (See Annex I), advise on improvements in method and performance, and compare accomplished with programmed tasks. This activity will be the direct responsibility of the Project Management Unit (PMU), under the supervision of the Steering Committee. See Table 5 for the execution performance indicators. The UNEP Task Manager will, in collaboration with the PMU, track these indicators.

Table 4: Indicators for Evaluating Whether Project Management Unit and Steering Committee are Effective

Indicator	Means of Verification
Half-yearly and annual activity and progress reports are prepared in a timely and satisfactory manner	Arrival of reports to UNEP
Half-yearly disbursement plans and half-year and annual financial reports are	Arrival of

prepared in a timely and satisfactory manner.	reports to UNEP
Performance targets, outputs, and outcomes are achieved as specified in the annual work plans.	Semi annual and Annual progress reports
Deviations from the annual work plans are corrected promptly and appropriately.	Work plans, minutes of SC meetings
Disbursements are made on a timely basis, and procurement is achieved according to the procurement plan.	IMIS system at UNEP and Bank Account statements of executing agency
Leadership is demonstrated by executing agencies	Need for interventions by IA is minimal

Delivery of Outputs

Ongoing monitoring will assess the project's success in producing each of the programmed outputs, both in quantity and quality. Internal assessment will be continuously provided by the PMU, and external consultants contracted by UNEP will carry out mid-term and final evaluations of outputs. See Annex VI for a summary of expected outputs by project output and outcome.

E – FINANCING PLAN

Table 5. Total GEF Alternative– Baseline and Incremental Costs (USD)

	GEF Increment *	Increment **		Total
		Co-financing (in-kind)	Co-financing (cash) Dutch/UNEP	
<i>3 Pilot Projects:</i>				
Activity 3: Field Work	730,000		60,000	790,000
3.1 Rwanda		200,000	UNEP/GEF PDF-B	200,000
3.2 Kenya		unestimated	national gov	
3.3 Mozambique		500,000	GTZ	500,000
Activity 5: Policy Engagement			60,000	60,000
Activity 6: Upscaling/Data Delivery from Field to Policy Level			70,000	70,000
Sub-Total: Pilot Projects	730,000	700,000	190,000	1,620,000
Regional Meetings	30,000	20,000	national gov, bilaterals	70,000
Technical Support	40,000	20,000	UNEP	80,000
Lessons Learned	0	0		0
Monitoring and Evaluation	40,000			40,000
Project Management	160,000	25,000	IA/EAs	245,000
TOTAL	1,000,000	765,000	300,000	2,065,000

*GEF: 1,000,000 USD

** Co-financing: 1,065,000 USD

E.1 Cost Effectiveness

The project seeks to minimize costs and add value in the following ways:

- Several countries will be working on a common problem simultaneously and certain costs (technical papers, meetings, project management) will be borne by the overall project rather than repeatedly by each country
- The role of a regional structure to the project is to allow for the sharing and utilization of resources and information, of regional expertise and of lessons learned
- The pilots focus on preventative measures to ecosystem and livelihood deterioration, which is far less costly than post rehabilitation of, for example, micro-hydro plants, destroyed forest and famine relief
- It will be more cost effective in the short and long term to build on existing structures (field projects already underway such as in Mozambique) and policies (i.e. rural development strategy in Kenya and National Energy Strategy in Rwanda), than to implement adaptation measures as stand-alone activities.

E.2 Status of Co-Financing

The Governments of the Netherlands and the Germany have confirmed their co-financing for the project in attached letters in the amount of US\$800,000 co-financing. The participating countries have also been involved through various Ministries in the design of the project and have dedicated staff to participate in project activities through the regional meetings. The multi-dimensional nature of the project has and will continue to involve experts from UNEP, such as the team working on UNEP's poverty and environment programme who have participated in the development of technical papers and meetings.

F - INSTITUTIONAL COORDINATION AND SUPPORT

F.1 Core Commitments and Linkages

As the SPA is a pilot phase GEF Programme, a lessons learned component has been built into the project. The final output of this project will be the synthesis of lessons learnt through the implementation of this project to be shared with the GEF and other IAs. A final evaluation will also examine how global environmental benefits have been secured through the implementation of an adaptation project. The process of mainstreaming, which is a focus of the GEF programme, will also be examined in detail to inform all stakeholders involved in this exercise.

In particular, information of progress and status will be shared with other IAs to collaboratively monitor the development of this portfolio. Particular emphasis will be on seeking coordination of information and implementation with the UNDP SPA project in East Africa. Moreover, linkages will be sought with a UNEP/University of Colorado/CG Centre project in East Africa on vulnerability of drylands in East Africa and climate change forecasts (LUCID).

Further, a UNEP/UNDP GEF climate change energy project in Rwanda will also inform this project by providing expertise on the broader energy picture in Rwanda. Likewise, the development of this

project will assist in informing this energy project on the impacts of climate change on reduced micro-hydro in the region.

In terms of linkages with other UNEP work, particularly of socio-economic aspects of the project (i.e. community level well-being, integration of environment into PRSPs, etc) information will be exchanged with UNEP's programme on poverty and environment, which seeks to integrate environment into development plans in African countries.

There are several other related GEF projects to which linkages will be sought and made at the onset of the MSP. In particular,

- Agricultural Productivity and Sustainable Land Management in Kenya (OP15): The proposed project, currently under preparation, seeks to promote sustainable use of natural resources for higher productivity and incomes for the rural farmers of Kenya and the maintenance of critical ecosystem functions in fragile areas. The project's key development goal is to contribute to the modernization of Kenya's agricultural sector and improvement of the lives and livelihoods of its rural communities through the development, acquisition and application of improved and profitable agricultural technologies and production practices. The project is directly linked to climate change as the agricultural sector is one of the most affected production sectors by climate change.
- Related to the Rwanda pilot project, a regional project is also under preparation by UNEP/FAO on Transboundary Agro-Ecosystem Management Program for the Lower Kagera River Basin. Synergies between the process and outputs of each MSP will be sought and built into project implementation. Also related to this project is a UNDP MSP under preparation, on Capacity Development and Mainstreaming Sustainable Land Management (SLM) in Rwanda.
- Another project under preparation is the UNDP "Regional Africa: Coping with drought and climate change" which was recently submitted to the Strategic Priority on Adaptation (SPA). While still in the preparatory phase, it is likely that the projects will be complementary as both will address drought stricken areas and impacts of climate on livelihoods. The added value of this proposed MSP will be to test risk management measures and to undertake the actual exercise of mainstreaming into relevant policy. In this way it is primarily linked to the above mentioned Work Bank project. The information and lessons learned from this adaptation MSP will undoubtedly be informative to any efforts at reforming agriculture policies in Kenya.

This project proposal has been circulated to the GEF Implementing Agencies as well as the focal points in the GEF Secretariat who have contributed the above suggestions for project linkages. As the implementation phase begins, other synergies will undoubtedly emerge which will be used to their advantage.

F.2 Consultation, coordination and collaboration between and among implementing agencies, executing agencies, and the GEF Secretariat, if appropriate.

UNEP-led Consortium of agencies will work in close collaboration with government UNFCCC-focal points, the GEF and UNFCCC Secretariat, the Least Developed Countries Experts Group (LEG), and a representative of the Development Assistance Committee (DAC) of the OECD. Also, intra-agency coordination will take place to ensure that experts working within UNEP on related issues seek and

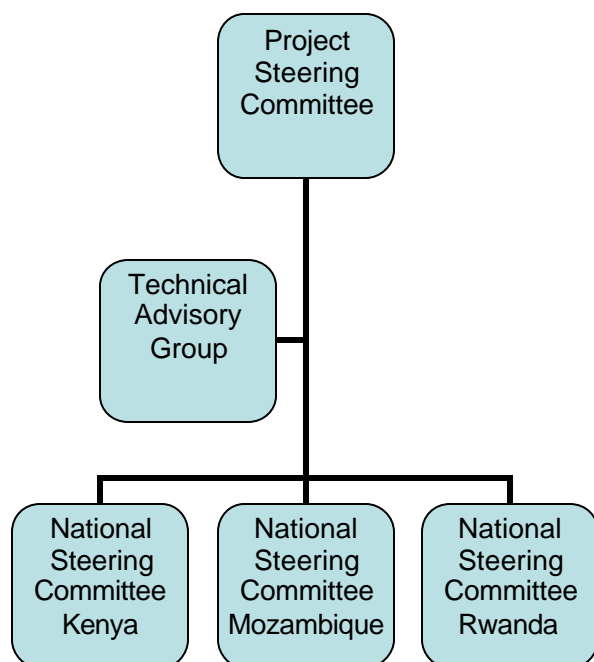
make use of commonalities, while avoiding duplication. As the project is linked to the Land Degradation and Climate Change Focal Areas of the GEF, activities will be coordinated between this project and those under development in other focal areas to ensure full complementarity and to avoid duplication.

F.3 Implementation/execution arrangements

The project will be executed through a Partnership between an African non-governmental organization, the African Centre for Technology Studies (ACTS) with support and capacity building by an international organization with significant experience in implementing projects in the field, the International Institute for Sustainable Development (IISD). Their profiles can be found in Annex III. The diagram below illustrates the arrangement for project management. The draft Terms of Reference for Joint Project management are found in Annex IV.

The implementation of the project will be supervised by a Steering / Co-ordinating Committee comprising of the representatives of the national governments, the executing and implementing agencies, the GEF Secretariat and participating donors. In addition to email correspondence, the Steering / Co-ordinating Committee will meet twice during the project cycle: in the planning workshop at the beginning of the project (upon approval of this project) and in the synthesis meeting after the national workshops towards the end of the project. Other meetings might take place on the margins of SB or CoP meetings. Additional agencies will be invited to attend the Steering / Co-ordinating Committee on an ad hoc basis. A representation of the overall management structure for project execution and implementation can be found below.

Figure 1. Institutional Framework for Project Management



National Steering Committees: Each pilot project will be managed and implemented through a national steering committee who will manage the pilot implementation and lessons learned.
Members: Drawing from the technical advisory group, the members will include those individuals and organizations who will be responsible for the three components of the project: field element, up-scaling/downscaling and policy reform.
Chair: Lead National Organization who will report to the Project Steering Committee
Meeting: regularly at national level
TOR: responsible for the delivery of the national pilot project, with support from Project Management Team (PMT), Project Steering Committee and Technical Advisory Group, detailed TOR to be developed by PMT once steering committee is established

Project Steering Committee : This body is accountable for overseeing the overall management of the project, including its activities, achievement of objectives, budget management, reporting requirements and monitoring and evaluation.
Members: UNEP, IISD, ACTS, UNFCCC, GEF, one representative from each participating country (to be nominated and usually the chair of the National Steering Committee)
Chair: UNEP
Meeting: Once a year
TOR: review and provide comments on detailed implementation plan; progress reports on pilot projects; mid-term and annual reports on activities including expenditures; oversee selection on monitors for M&E and of technical advisory group; provides guidance to the Project Management Team (UNEP, IISD, ACTS)

Technical Advisory Group: The technical expertise sub-contracted to advise on the overall project and on the individual pilot projects will be managed through the assembly of a technical advisory group.
Members: Individuals and organizations will be selected based on needs such as vulnerability assessments, sector experts esp. on energy, forest fire management and drought management, economics and policy analysis.
Chair: ACTS
Meeting: as required and upon retainer
TOR: provide advice and contribute to design of pilots and policy tools, undertake assessments as per individual, reports to the project steering committee in a timely fashion

Note: **Project Management Team** consists of IISD, ACTS and UNEP. IISD and ACTS are the executing agencies responsible for the delivery of the project activities. UNEP is the GEF Implementing Agency and is ultimately accountable to the GEF Council for the delivery of the project.

Annex I. Criteria for Country Selection for Pilot-Projects

EVALUATION CRITERIA
(GEF/C.23/INF.8/Rev.1)
1. Pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into national policy and sustainable development planning
1.1 upscaling aspect (additional criteria relevant to objective of project
2. Country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies”. The adaptation measures will be guided by such preparatory work as the first and second national communications, NAPAs, and other relevant country studies
3. Maximize the opportunity for learning and capacity building and will be representative of particularly vulnerable regions, sectors, geographic areas, ecosystems, communities.
4. Lessons from the SPA projects should be applicable in a wide context
5. The pilot or demonstration projects must include: (i) activities within a natural resources management context that generate global environmental benefits, and
5. 1 adaptation measures that provide other major development benefits (e.g. WEHAB, i.e. water, energy, health, agriculture, biodiversity).
6. Country drivenness,
7. Ecological and financial sustainability
8. Replicability
9. Stakeholder involvement
10. M&E, etc.
11. Degree of capacity building
Additional Criteria Relevant to Project Objectives and Principles of Sound Project Design:
12. Expressions of interest, responsiveness and active involvement in Phase I (regional meeting, technical papers, country endorsement)
13. Political will/ Core commitment
14. Existing institutional structures in place and responsive to project
15. Existing field project on which to build
16. Existing Policy on which to build
17. Existing information on V&A from NCs, NAPA or other relevant sources*
18. Opportunities for Global Environmental in GEF Focal Areas
19. Meets the objective of the project for Policy Integration
Vulnerability reduction
Cost Efficiency

ANNEX II: PROFILE OF EXECUTING AGENCIES

African Centre for Technology Studies

The African Centre for Technology Studies (ACTS) is an International Policy Research Organization based in Nairobi, Kenya. The Centre's Mission is to enlarge the range of policy choices for Africa's sustainable development. Its activities focus in the implementation of technology policy related provisions of Agenda 21 and other conventions of Biological Diversity, Climate Change and Desertification. ACTS Research and Capacity Building activities are organised in five programmatic areas:

- Biodiversity and Environmental Governance,
- Energy and Water Security,
- Agriculture and Food Security,
- Human Health Science and,
- Technology Literacy Promotion Programmes.

With 16 employees (9 in the research division) and an annual budget of *USD 1.5 million*, the centre works with UN Bodies, Universities, NGOs, and Governments around the world. Its member states are Kenya, Uganda, Malawi, Ghana and Malta. The International Centre for Research in Agroforestry (ICRAF) and Third World Academy of Sciences (TWAS) are also founding members of ACTS. The Energy and Water Security Programme leads Climate Research Activities within the centre. Some of the current climate change related projects include:

A) Capacity strengthening in the Least Developed Countries (LDCs) for Adaptation to Climate Change (CLACC)

This Project covering Uganda, Tanzania and Sudan within the East Africa Region is concerned with supporting the National Adaptation Programmes of Action (NAPAs) through Civil Society Involvement in the three countries. Specifically, it aims at:

- Strengthening the capacity of civil society in LDCs to adapt to climate change and fostering adaptive capacity among the most vulnerable groups.
- Establishing an information and knowledge system to support countries to deal with the adverse impacts of climate change.
- Mainstreaming the NAPA process with key non-governmental stakeholders.

Major phases of the project include a training fellowship on adaptation to climate change followed by in-depth country studies, a regional workshop on vulnerability and adaptation to climate change followed by the development of region-specific web-based resources on adaptation to climate change. Also publications of reports (in local languages where appropriate), papers in journals, policy briefs for (national and regional) policy makers and articles in local and national (printed and electronic) media will be carried out. ACTS is the coordinating partner for East Africa. Other organizations involved include IIED, UK; ZERO, Zimbabwe; BCAS, Bangladesh and ENDA, Senegal.

B) Linking Climate Adaptation Project (LCA)

Vulnerable communities will not sit passively waiting for climate impacts to strike but will undertake adaptation, based on local knowledges about livelihoods and resources. Community led adaptation measures are most likely to be successful in tackling issues of poverty reduction, social development and sustainable development. But communities may or may not, however take fully into account the full ramifications of the scale and speed of climate impacts forecasts by climate scientists. For this

reason, greater interactions between these largely disconnected domains – local level adaptation and climate change science and policy – is imperative.

The key research aim of LCA project is to determine what kind of procedural and institutional frameworks are needed to ensure that locally determined adaptation needs are linked ‘upwards’ to national and international policy and institutional structures. The project will identify conceptually which actors, funding flows and policy mechanisms must be linked to successfully support community led adaptation. This will assist communities and developing countries adaptation experts share the practical, policy and experiential knowledge and contribute to easing capacity related bottlenecks. It will also identify longer term research priorities needed to support community led adaptation in the future.

This is a collaborative assignment being carried out jointly with the Institute of Development Studies-University of Sussex, International Institute of Environment and Development (IIED,UK), Bangladesh Centre for Advanced Studies (BCAS), Zimbabwean Environmental Research Organization (ZERO), Development Alternatives (DA-INDIA) and ENDA (Senegal).

Further information about ACTS may be found at www.acts.or.ke

International Institute for Sustainable Development

The International Institute for Sustainable Development (IISD) is a not-for-profit, Canadian research institute established in 1990 that has offices in Winnipeg, Ottawa, New York and Geneva. The Institute undertakes policy research in order to promote the transition to a sustainable future. It focuses on advancing practical policy recommendations in the areas of climate change and energy, measurement and assessment, international trade and investment, economic policy, sustainable natural resources management, knowledge networks, and youth leadership development.

IISD works in many regions of the world, and in fora ranging from the international negotiations to local communities. The Institute has solid experience and has published its findings in a range of activities, including:

- policy review and formation, including the application of adaptive policy;
- climate change impacts and vulnerability assessments;
- risk assessments, risk management and decision analysis;
- stakeholder consultations, group facilitation and communication strategies; and
- provision of expert advice to key policy makers.

IISD’s activities at the local, national and international level are supported through project grants received from Canadian government departments, other national governments, UN agencies, international organizations, foundations and private sector corporations. In the 2003-04 financial year, IISD raised Cnd\$8.945 million in project funds and received Cnd\$2.105 million dollars in core grants from the Canadian International Development Agency, Environment Canada and the Government of Manitoba. IISD’s approximately 150 staff members, associates, freelancers and Board members come from more than 30 countries.

IISD’s Climate Change and Energy Program has been actively engaged in the international climate change arena since the signing of the UNFCCC in 1992. Key strengths of the Institute include its ability to analyze and communicate complex issues, facilitate discussions between diverse interests, and integrating climate change responses with sustainable development objectives. IISD’s

unique perspective and effectiveness has led it to be recognized as an international leader in climate change policy.

Some of IISD's recent climate change work includes:

- *Vulnerability of Indian Agriculture to Climate Change and Globalization* (2001–2004) – Using a technique called “double exposure”, this joint IISD-TERI-CICERO project provided policy makers with policy recommendations regarding how to address the adaptation needs of regions of India dually exposed to climate change and globalization. Guidance was developed based on a macro level vulnerability assessment using GIS combined with village -level case studies in five regions that clarified the social and economic implications of double exposure and identified critical policy drivers shaping local adaptation responses. Funding was provided by CIDA and the Norwegian Ministry of Foreign Affairs.
- *Climate Change, Vulnerable Communities and Climate Change* (2001–2005) – This project seeks to strengthen the role of ecosystem management and restoration (EM&R) activities in reducing the vulnerability of communities to climate-related hazards and climate change. The project is facilitating the implementation of EM&R approaches to climate change adaptation by providing donors, developing country planners, and project managers with decision-making resources and tools. IISD is undertaking this project in partnership with IUCN, SEI-Boston and Intercooperation, with funding from the Swiss Agency for Development and Cooperation.
- *Development and Climate* (2001–2004) – As part of a collaborative effort involving 12 research institutes from developed and developing countries, IISD undertook research and facilitating dialogue on how development priorities such as poverty eradication can be achieved through actions that reduce greenhouse gas emissions and countries' vulnerability to climate change.
- *Chile's Transportation Sector and the CDM* (2002–2005) – In partnership with Climate Change and Development Consultants (Chile) and the Center for Clean Air Policy (USA), IISD is building institutional capacity in Chile to develop, evaluate and facilitate CDM projects and policies in the transportation sector. The project is also developing methods for structuring CDM projects in the transportation sector, establishing project baselines, and measuring and monitoring the project results. Funding for this project has been provided by CIDA.
- *Adaptation as Resilience Building* (2004–2007) – In partnership with the University of Manitoba and the Prairie Farm Rehabilitation Administration, IISD recently launched a project exploring past resilience to climate variability within the Canadian prairies, identifying policies that promote or impede resilience to existing climate stress, and determining how climate resilience can be increased by strengthening adaptive capacity through targeted policy intervention. Funding for this project has been provided by Canada's Climate Change Action Fund.

Led by John Drexhage, IISD's Climate Change and Energy team consists of sixteen individuals located across Canada, as well as in the United States and Europe.

Further information about IISD may be found at <http://www.iisd.org/>.

ANNEX III
Terms of Reference for Joint Project Management
DRAFT

For the purpose of these terms of reference:

- *Project Management Team* refers to the United Nations Environment Programme (UNEP), the African Centre for Technology Studies (ACTS) and the International Institute for Sustainable Development (IISD). IISD and ACTS are the executing agencies responsible for the delivery of project activities. UNEP is the GEF Implementing Agency and is ultimately responsible to the GEF Council for the delivery of the project.
- *Project Steering Committee* refers to the oversight body responsible for overall management of the project. It will include UNEP, ACTS, IISD and representatives from each of the UNFCCC Secretariat, the GEF Secretariat and the five participating countries.
- *Technical Advisory Group* refers to the assembly of technical experts sub-contracted as project advisors.
- *National Steering Committee* refers to the national body responsible for management and implementation of each pilot project.

The following terms of reference focus on responsibilities of ACTS and IISD as Executing Agencies. All activities undertaken by ACTS and IISD in their capacity as Executing Agencies will occur in consultation with UNEP.

Overall Project Design and Implementation:

1. Develop a project implementation plan reflective of the goals and objectives of the project that will include:
 - detailed project design, including timelines, deliverables, influencing strategy and budget;
 - project management structure that will describe the roles, responsibilities and reporting relationships of all parties engaged in the project, including the Project Management Team, the Project Steering Committee, the Technical Advisory Committee and the National Steering Committees; and
 - clarify, if needed, the project's Logical Framework Analysis.

Responsibility: To be undertaken jointly by ACTS and IISD

2. Revise and refine the detailed project implementation plan, including, but not limited to, timelines, delegation of responsibilities and budget, as required and approved by UNEP.
Responsibility: To be undertaken jointly by ACTS and IISD

3. Coordinate regional activities, including:
 - a. Facilitating communication between participating countries and the Project Management Team.
 - b. Working with UNEP to establish the Project Steering Committee.

- c. Hosting an annual meeting that will bring together representatives of all participating countries, the Project Steering Committee, the Project Management Team and others as required.

Responsibility: ACTS and IISD will work together to develop and prepare the content of these regional activities. ACTS will take the lead in making appropriate logistical arrangements.

4. Ensure regular communication with and between members of the National Steering Committees of Kenya, Rwanda, and Mozambique, and the appointed representatives of the observer countries of Madagascar and Tanzania.

Responsibility: To be led by ACTS

5. Collect lessons learned as the project progresses.

Responsibility: To be led by ACTS; to be supported by IISD.

6. Communicate project outcomes and results to the wider policy and climate change community throughout the project cycle through, but not limited to:

- a. Presentations at selected national and international conferences and workshops; and
- b. Publication of articles and case studies.

Responsibility: To be undertaken by ACTS and/or IISD as circumstances warrant

Pilot Project Implementation – Management of Country Level Activities in Kenya, Rwanda and Mozambique

7. Confirm or establish National Steering Committees in Kenya, Rwanda and Mozambique.

Responsibility: To be undertaken jointly by ACTS and IISD

8. Work with the National Steering Committees to develop and finalize detailed country level implementation plans and monitoring processes, giving particular attention to the need for a policy up-scaling component. Implementation plans should include:

- detailed project design, including timelines, deliverables, influencing strategy and budget;
- project management structure that will describe the roles, responsibilities and reporting relationships of all parties engaged in the project; and
- a Logical Framework Analysis

Responsibility: To be undertaken jointly by ACTS and IISD

9. Supervise, assist with and monitor implementation of the individual pilot projects to be undertaken in Kenya, Mozambique and Rwanda.

Responsibility: To be led by ACTS; to be supported by IISD

10. Develop guidance and lessons on policy integration from field experience and assuring that pilot-project have well defined activities for up-scaling from field level to policy reform.

Responsibility: To be led by IISD; to be supported by ACTS

11. Maintain continual dialogue with National Steering Committees and national project-level implementation teams.

Responsibility: To be led by ACTS; to be supported by IISD

Technical Expertise

12. Identify, engage and manage technical experts required to support implementation of the overarching project as well as its individual pilot projects, and coordinate their participation in the Technical Advisory Committee.

Responsibility: To be led by ACTS; to be supported by IISD

Capacity Building

To support capacity building within the regional organization and project implementation team, IISD and ACTS will:

13. Undertake a needs assessment to identify areas for capacity enhancement within the Project Management Team.
14. Develop formal and informal strategies for building the Project Managers' capacity to deliver field level and multi-country projects.

Responsibility: To be undertaken jointly by ACTS and IISD

Monitoring and Reporting

15. Establish a baseline set of indicators, based on the GEF's requirements for its Strategic Priority for Adaptation, and a monitoring framework for these indicators, against which reporting will be undertaken.

Responsibility: To be undertaken jointly by ACTS and IISD

16. Produce the following narrative and financial reports in conformity with UNEP and GEF reporting requirements as appropriate:

- a. Bi-annual narrative Progress Reports, to be provided within 30 days of each reporting period
- b. Consolidated Annual Summary Progress Reports, to be provided within 45 days of the end of the annual reporting period
- c. Quarterly financial reports
- d. Annual Co-financing reports
- e. Annual Audited Financial report

Responsibility: To be led by ACTS; to be supported by IISD

17. The project's Executing Agencies will report to UNEP on a regular basis and hold monthly project management meetings

Responsibility: To be undertaken jointly by ACTS and IISD

Requirements for the Project Management Team, excluding UNEP:

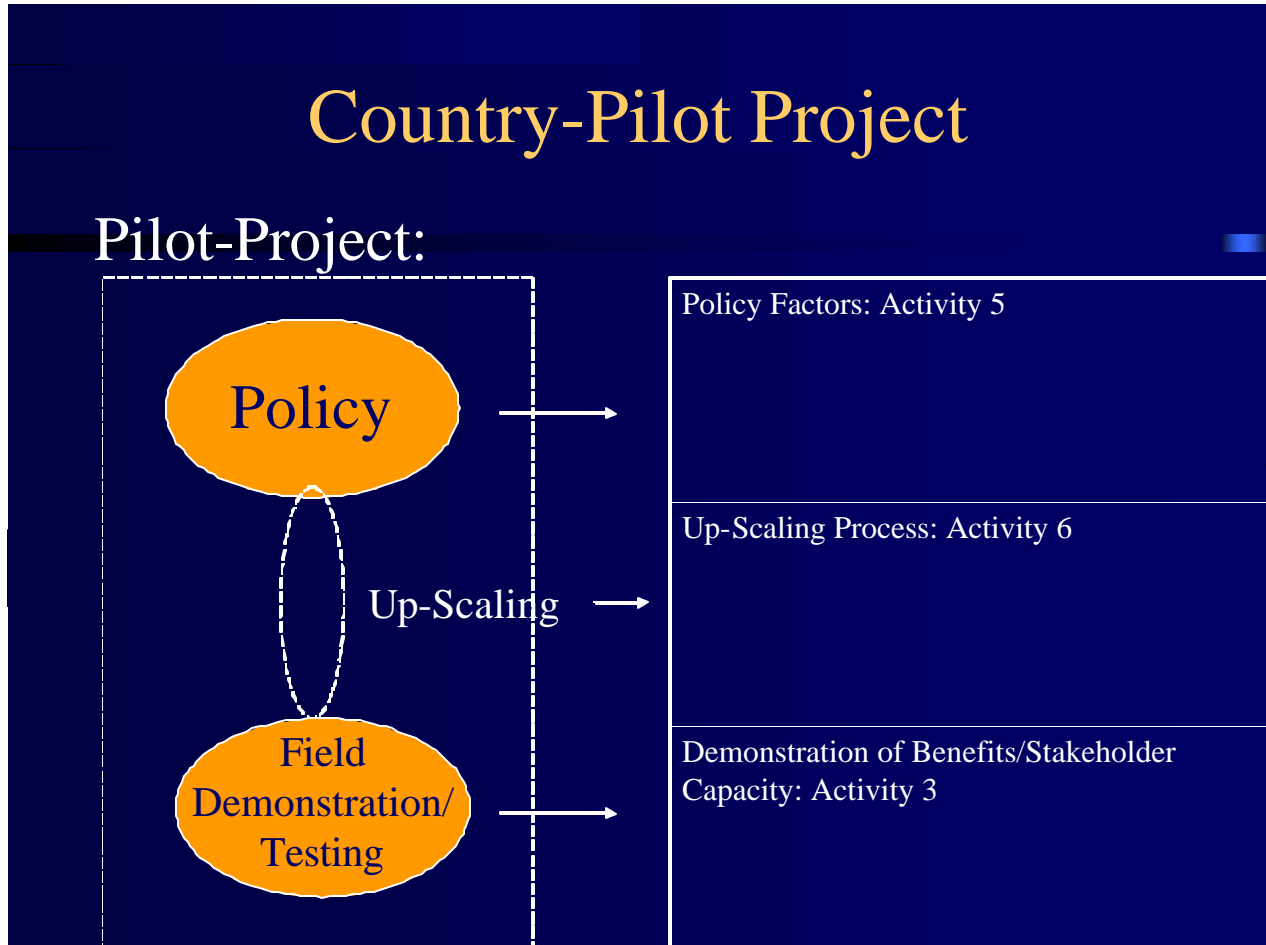
Time Commitment: 0.3 person time per year from ACTS; 0.3 person time per year from IISD.

Skills and Expertise:

- Knowledge and Experience with Adaptation to Climate Change Projects
- Management Experience for: Budget Management, Delivery of Field Projects, Ability to Meet Deadlines
- Regional Network and Multi-Stakeholder processes
- Strong Communication and Interpersonal-Skills
- Institutional Capacity to Manage the project: Time, Guidance, Budget Management System, Infrastructure, In-kind contribution

ANNEXIV: COUNTRY PILOT PROJECT AND DETAILED WORKPLANS FOR THREE DEMONSTRATION PROJECTS

THE FOLLOWING STRUCTURE WAS PRESENTED TO COUNTRIES TO GUIDETHE DEVELOPMENT OF THEIR OWN WORKPLANS



ANNEX IV (cont'd)

KENYA Pilot Project Design: Increasing Community Resilience to Drought in Makueni District:

The objective of this project is twofold: 1. To reduce community vulnerability to Drought exacerbated by climate change in the Makueni District by implementing a field demonstration project to produce tangible benefits to the community and, 2) to gather information from the field and related to the information needs of policy makers in order to effect changes in relevant policies, in particular the ASAL Development Programme and the draft local level Disaster management policy.

		Work plan of Activities
Project Component	Brief Description	Activities
Policy Factor (Activity 5)	The project is linked to and will support the following policies: Environment and Development; Natural Resources Management; Disaster Management and Sustainable Development of Arid and Semi Arid Lands (ASAL)	The following activities which cut across all the selected policies will be affected: Preparedness and appropriate techniques of dryland farming; water and soil conservation, timing of agricultural operations; seed quality and variety; use of climate and weather information.
		Assess how vulnerability reduction is being addressed through policy
		Query policy makers to determine and define questions they may have in order to better address these through field project - needs assessment
		Identify key organizations, individuals directly involved with the policy and undertake awareness raising, workshop, determination of needs
Demonstration of Benefits/Stakeholder Capacity (Activity 3: Primary Activity)	The ongoing Arid Lands Natural Resources Management Project on rainfed mixed farming and seed banking will be used at a field level to demonstrate how to increase resilience to Drought in the Makueni District and thereby reduce vulnerability to climate change and address poverty	Needs assessment at community level and rapid vulnerability assessment and identification of site for project implementation
		Systematic collection of data from the field for input in to policy analysis
		Matching needs at policy level for information with community needs to scope field research and assessment priorities: i.e. increased soil moisture content, improved timing of agricultural operation, improved seed quality and variety, improved agricultural production, improved use of climate and weather information, etc. Identification and confirmation of support by community and existing drought management project

	reduction and improved livelihoods. The activities will be highly consultative and be implemented with the community. Relevant stakeholders include: farmers. KARI, NGOs, country councils, Office of the President, ICPAC, Ministry of Environment and Natural Resources (NEMA), Kenya Meteorological Department, Kenya Food Security Steering Group, Kenya National Academy of Sciences and the Universities	Design of field level add-on to existing project including participatory decision making
		Testing/trial of identified measure for vulnerability reduction in the field (primary activity to be developed during activities 1 and 2)
		Improvements on feasible option (adaptive management)
		Collection of information on actual benefits from adaptation intervention as input into policy
		Work with policy makers to formulate policy relevant recommendations for the improvement of national policy
Up-Scaling (Activity 6)	The Upscaling component will link the information from the field project to demonstrate benefits to policy makers on the benefits of integrating V&A into relevant policies. The relevant stakeholders are Government Ministries (OP, MOA, MPND, MENR, Finance, MoWater&Irr., Kenya Food Security Steering	<p>Stakeholder Workshop. Objective: To finalize the workplan for this pilot project, including objective for demonstration project matched with needs for policy reform</p> <p>Develop Policy paper based on identified needs (above) and demonstration of benefits from field Project (below).</p> <p>Identify policy implementation plan, challenges, barriers, successful channels for implementation</p> <p>Draft policy revisions to selected policy in order to include consideration of adaptation to climate change</p>

	Group, Regional Development Organizations), Parliament, Cabinet	Presentation of draft policy/policy implementation plan including plans for implementation
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RWANDA Pilot Project on Reducing the Vulnerability of the Energy Sector to the Impacts of Climate Change:

Objective: To reduce vulnerability of micro-hydro to the impacts of climate change and to secure sustainable energy supply for rural areas

Project Component	Brief Description	Activities (not in order)
Policy Factor (Activity 5)	In this component, the appropriate policy will be selected, point of entry for policy reform chosen, and policy information needs determined in order to inform the information gathering in the field project. The Policy to be informed by the field project is the energy policy and also possibly those related to water and agriculture as relevant.	<p>Select policy/ies which project will try to affect based on a number of criteria such as: timing, receptiveness, institutional structure</p> <p>Assess how vulnerability reduction is being addressed through policy</p> <p>Query policy makers to determine and define questions they may have in order to better address these through field project - needs assessment</p> <p>Identify key organizations, individuals directly involved with the policy and undertake awareness raising, workshop, determination of needs</p>
Up-Scaling/Down-scaling (Activity 6)	The Upscaling component will link the information from the field project to demonstrate benefits to policy makers on the benefits of integrating V&A into relevant policies. The relevant stakeholders are Government Ministries (MOA, MPND, Finance, Water, Regional Development	<p>Design Implementation Plan for revised energy policy to disseminate lessons learned from project to other energy projects (Down-Scaling)</p> <p>Stakeholder Workshop. Objective: To finalize the workplan for this pilot project, including objective for demonstration project matched with needs for policy reform</p> <p>Develop Policy paper based on identified needs (above) and demonstration of benefits from field Project (below).</p> <p>Identify policy implementation plan, challenges, barriers, successful channels for implementation</p>

<p>Demonstration of Benefits/Stakeholder Capacity (Activity 3)</p>	<p>Organizations), Parliament, Cabinet</p> <p>This component will include a field level demonstration which will include a identification of hydro-power in different parts of the country including an assessment of how this might change in the future given climate and land use trends in those regions. The relevant Ministries include that in charge of energy, environment, Industries and Local Administrations.</p>	<p>Draft policy revisions to selected policy in order to include consideration of adaptation to climate change</p> <p>Presentation of draft policy/policy implementation plan including plans for implementation to relevant decision making body</p> <p>Publication and distribution of a report to all stakeholders to inform subsequent decisions and project design in the energy sector</p> <p>Identification of existing micro-hydro sites and associated communities experiencing falling water potentials and site selection</p> <p>Needs assessment at community level and rapid vulnerability assessment and assessment of energy sources available</p> <p>Matching needs at policy level for information with community needs to scope field research and assessment priorities and vulnerability indicators: I.e. reliable and available energy source for community use, increased water potentials, reduced deforestation</p> <p>Design of field level add-on to existing project including participatory decision making</p> <p>Develop plan for and perform systematic collection of data from the field for input into policy analysis</p> <p>Identification and confirmation of support by community to build understanding and support for field project</p> <p>Testing/trial of identified measure for vulnerability reduction</p> <p>Training of technicians and land planners to reduce vulnerability of energy source</p> <p>Conclude by assessing change in energy security (against climate change impacts) and making recommendations for reducing the vulnerability of the country's energy security in light of climate changes.</p>
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Mozambique Pilot Project on Community-Based Fire Management strategy (CBFM) in Central Mozambique :

Objective: To reduce impacts of climate change on forest fires through improved management of carbon stocks and forest management

		Workplan of Activities
Project Component	Brief Description	Activities (see below detailed worksheet for detailed workplan)
Policy Factor (Activity 5)	In this component, the appropriate policy will be selected, point of entry for policy reform chosen, and policy information needs determined in order to inform the information gathering in the field project. The specific objective for this project is for Community-Based Fire Management strategy are accepted by local and national decision makers (stake-holders), converted into national policies in consultation with international activities and disseminate to others prone districts	Coordination of forest fire prevention measures in central Mozambique, including all in wide land management active participants
		Develop a communication system between the national, provincial and local level for the endangered population
		Disseminate the CBFM strategy to prone districts in the northern provinces
Up-Scaling/Down-scaling (Activity 6)	The Upscaling component will link the information from the field project to demonstrate benefits to policy makers on the benefits of integrating V&A into relevant policies. The relevant stakeholders are Government Ministries, Parliament and Cabinet. A round table for the coordination of wide land fire management in central Mozambique will be the main channel for this dialogue.	Elaborate a proposal for the Community-Based Fire Management approach to be integrated in the national strategy of uncontrolled fire
		Encourage the national stakeholders to develop protocols and agreement for mutual assistance in wildland fire disaster management, for example within the SADC region with special reference to Article 3 of the SADC Protocol on Forestry (dated 3 October 2002), and in close cooperation with the UN-ISDR, GFMC, UNEP and others.

<p>Demonstration of Benefits/Stakeholder Capacity (Activity 3)</p>	<p>Community-based prevention and preventive measures for wide land fire management are accepted in selected prone districts of Central Mozambique. In many ways, this project is more of an example of a policy downscaling exercise as the first activities will be the development of a strategy and plan for fire management which will then be tested in the field.</p>	<p>Advanced training of one already in the district Búzi in disaster risk management trained group of volunteers in concrete fire prevention and fire fighting</p>
		<p>Sensitization and training of the population for avoidance and to the protection of wide land fires, including basic equipments for fire fighting</p>
		<p>Establishment of a participatory fire observation -, monitoring and early warning system</p>

ANNEX V. LOG FRAME

PROJECT STRATEGY	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
GOAL			
To reduce vulnerability of communities to the impacts of climate change thereby improving their well-being and protecting their livelihoods			
OBJECTIVE			
To promote the mainstreaming or integration of vulnerability and adaptation to climate change into sustainable development plans and planning processes through three pilot demonstration projects.	<p>By the end of the project, a strategy has been designed and initiated to integrate vulnerability to climate change into the three respective policies selected for intervention. The benefits are demonstrated through the implementation of three field projects.</p> <p>Replicability Indicator: At least two other projects are replicated using non-GEF funding sources</p>	<p>Documentation of completed pilot projects in three countries</p> <p>Questionnaire to regional countries</p>	<p>Policy makers and community participants demonstrate sufficient interest in the project.</p> <p>Methodologies outlined in technical papers (Table 1) are appropriate to local contexts</p> <p>That methodologies are applicable to other sites and country contexts</p>
OUTCOMES			
Outcome 1. Capacity is generated for implementing adaptation measures in the field in three countries.	<p>Three groupings of field activities are designed and implemented by a broad range of stakeholders</p> <p>Globally significant goods related to GEF Focal areas are better managed (indicator to be developed during activities 1 and 2 and resubmitted)</p>	<p>Surveys and field visits conducted in three countries Project reports, reports from relevant ministries</p> <p>Field visits to measure improvements in resource management: hydro potential, forest fire and ecosystem integrity, land degradation and ecosystem</p>	<p>Main assumption is on “policy receptiveness” – policies will be selected that are relevant to the demonstration project and which are receptive to the project</p>

PROJECT STRATEGY	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
		functioning	
Outcome 2 Increased capacity to generate and use information about climate change to effect change in relevant development policies.	<p>Three plans developed to address cc vulnerability through relevant policies (mainstreaming)</p> <p>Policy recommendations devised/developed jointly between climate and non-climate experts</p> <p>Increased regional information available on linkages between V&A and development</p>	<p>Documentation showing policy recommendations are produced for each pilot and adopted through policy process</p> <p>Project teams are composed of climate and non-climate experts</p> <p>Number of non-climate experts in the project</p> <p>Reports are produced and published</p>	<p>Lack of sufficient information needed to measure vulnerability reductions and enhancement of well-being.</p> <p>Policy receptiveness</p> <p>Subsequent implementation of relevant policy in country is weak</p>
Outcome 3 Knowledge of the linkages between development planning and climate change, including policy process and methodologies in increased.	<p>Increased number of development practitioners having access to guidance on how to integrate adaptation needs or carry out adaptation</p> <p>Non-pilot countries engage actively in regional meetings on their own and request information from project</p>	<p>Lessons learned document and methodology description is produced and monitored through record of distribution</p> <p>Development partners attend meetings</p> <p>Records of requests for information by email, in person, by post; attendance at open meetings is high</p>	<p>Development practitioners are interested in issue</p> <p>Project participants are interested in networking and sharing information</p>
OUTPUTS	OVI	Verification	Assumptions
For Outcome 1: Field Capacity			
Three field level adaptation projects are designed by national implementation teams and implemented collaboratively with relevant stakeholders	Three detailed work plans are produced in line with umbrella design (Annex IV)	Reports produced on policy relevance of V&A	

PROJECT STRATEGY	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
	<p>Field projects demonstrate reduced vulnerability</p> <p>National capacity developed to implement adaptation strategies</p>	<p>Field sites visited, interviews with community</p> <p>Number of experts and institutional participating in project</p>	<p>Vulnerability to climate change is measurable. Specific indicators for each pilot project will be developed as part of implementation plan and used to assess progress.</p>
<p>For Outcome 2: Policy Capacity</p> <p>Information, tools and knowledge developed and used to mainstream adaptation to climate change into sustainable development planning</p>	<p>5 technical papers are produced by climate and non-climate experts</p> <p>Project design is influenced by technical information</p> <p>Meetings attended by at least one climate expert and non-climate expert per country</p>	<p>Number of papers peer reviewed and published as grey literature.</p> <p>Papers are made available and used during project lifetime.</p> <p>Project teams cite papers as sources of information in project design.</p> <p>Workshops attended by both experts of both fields</p>	<p>Difficulties communicating between experts from different fields, unresponsive peer review, submitted papers are of poor quality due to weak writing capacity, insufficient time will be allocated to reviewing papers and for peer review</p> <p>Time and resource constraints, challenge bringing fields of practice to common ground</p>
<p>For Outcome 3: Lessons learned</p> <p>Lessons derived from implementation of project and products disseminated to a broad audience</p> <p>Lessons learned for GEF Adaptation project are produced two years after the end of the project to assess longer-term impacts</p>	<p>One-hundred copies of lessons are distributed at CoP, to other Parties, on internet.</p> <p>Mid-term and final reports are produced including analysis and recommendations</p>	<p>Documentation, presence at international meetings</p> <p>Documentation, M&E, interviews with communities and policy makers, project implementation teams</p>	