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**List of Acronyms and Abbreviations**:

|  |  |
| --- | --- |
| AGP | Agricultural Growth Programme  |
| AMAT | Adaptation Monitoring and Assessment Tool |
| AWPs | Annual Work Plans |
| AWS | Automatic Weather Stations |
| BPPS | Bureau for Policy and Programme Support |
| CBO | Community-based Organisation |
| CBAWDT | Community Based Participatory Watershed Development Team |
| CCA | Climate change adaptation  |
| CD | Country Director |
| CEO | Chief Executive Officer |
| CGRD | Climate and Geospatial Research Directorate |
| CIRDA | Climate Information for Resilient Development in Africa |
| CO | Country Office |
| COA | Country Operations Assistant |
| CPAP | Country Programme Action Plan |
| CRGE | Climate Resilient Green Economy |
| CSA | Climate-smart agriculture |
| CWT | Community Watershed Teams |
| DCD | Deputy Country Director |
| DFID | Department for International Development |
| DPCs | Direct Project Costs |
| DRR | Deputy Resident Representative |
| EIA | Environmental Impact Assessment |
| EIAR | Ethiopian Institute of Agricultural Research |
| EPA | Environmental Protection Agency |
| EPE | Environmental Policy of Ethiopia |
| EPACC | Ethiopia’s Programme of Adaptation to Climate Change  |
| ERC | Evaluation Resource Centre |
| ESIA | Environmental and Social Impact Assessment |
| ESMP | Environmental and Social Management Plan |
| ESSP | Ethiopia Strategy Support Program |
| EWS | Early Warning System |
| EWSP | Ethiopian Water Sector Policy |
| FAO | Food and Agriculture Organisation |
| FNC | First National Communication |
| FSP | Full Sized Project |
| GCF | Green Climate Fund |
| GDP | Gross Domestic Product |
| GEF | Global Environment Facility |
| GHG | Greenhouse Gas |
| GIS | Geographic Information Systems |
| GEFSEC | Global Environment Facility Secretariat |
| GGW | Great Green Wall  |
| GGWSSI | Great Green Wall Initiative of the Sahara and the Sahel |
| GIZ | Deutsche Gesellschaft für Internationale Zusammenarbeit |
| GoE | Government of Ethiopia  |
| GM | Global Mechanism |
| GTP | Growth and Transformation Plan  |
| HABP | Household Asset Building Programme |
| HACT | Harmonized Approach to Cash Transfer |
| IEO | Independent Evaluation Office |
| IFPRI | International Food Policy Research Institute |
| ILRI | International Livestock Research Institute |
| INDC | Intended Nationally Determined Contribution  |
| IP | Implementing Partner |
| IRRF | Integrated Results and Resources Framework |
| IWRM | Integrated Water Resources Management |
| KFW | Kreditanstalt für Wiederaufbau Development Bank |
| KM | Knowledge Management |
| LDC | Least Developed Country  |
| LDCF | Least Developed Country Fund |
| LOA | Standard Letter of Agreement |
| LPAC | Local Project Appraisal Committee |
| M&E | Monitoring and Evaluation  |
| MDG | Millennium Development Goal |
| MEA | Multi-lateral Environmental Agreement |
| MEFCC | Ministry of Environment, Forest and Climate Change  |
| MERET | Managing Environmental Resources to Enable Transitions  |
| MFI | Microfinance institutions  |
| MoANR | Ministry of Agriculture and Natural Resources |
| MoEF | Ministry of Environment and Forest |
| MoFED | Ministry of Finance and Economic Development |
| MoFECMoH | Ministry of Finance and Economic CooperationMinistry of Health |
| MoLF | Ministry of Livestock and Fisheries  |
| MoWIE | Ministry of Water, Irrigation and Electricity  |
| MSP | Medium Sized Project |
| MTR | Mid-Term Review |
| NAP  | National Action Programme |
| NAP-GE | National Action Plan for Gender Equality |
| NAPA | National Adaptation Programme of Action  |
| NBSAP | National Biodiversity Strategy and Action Plan |
| NGO | Non-Governmental Organisation |
| NIM | National Implementation Modality |
| NMA | National Meteorology Agency  |
| NPSDRM | National Policy and Strategy on Disaster Risk Management |
| NSC | National Steering Committee  |
| OFP | Operational Focal Point |
| ORDA | Organisation for the Rehabilitation and Development of Amhara |
| PAC | Project Appraisal Committee |
| PFAA | Project Finance and Administrative Associate |
| PIF | Project Identification Form |
| PIMs | Project Implementation Manuals |
| PIRPM | GEF Project Implementation ReportProject Manager |
| PMCPMU | Project Management CostProject Management Unit |
| POPP | Programme and Operations Policies and Procedures |
| PPG | Project Preparation Grant |
| PRODOC | Project Document |
| PSC | Project Steering Committee |
| PSNP | Productive Safety Net Programme |
| PTA | Project Technical Assistant |
| QA | Quality Assurance |
| ROAR | Results Orientated Annual Report |
| RR | Resident Representative |
| RTA | Regional Technical Adviser |
| SBAA | Standard Basic Assistance Agreement |
| SCCF | Special Climate Change Fund |
| SDGs | Sustainable Development Goals  |
| SDPRP | Ethiopia’s Sustainable Development and Poverty Reduction Programme |
| SESA | Strategic Environmental and Social Assessment |
| SESP | Social and Environmental Screening Procedure |
| SLM | Sustainable Land Management  |
| SLMP | Sustainable Land Management Programme |
| SNC | Second National Communication  |
| SNNPR | Southern Nations, Nationalities and Peoples’ Region |
| SSTrC | South-South and Triangular Cooperation |
| STAP | GEF Scientific Technical Advisory Panel |
| SWC | Soil and Water Conservation  |
| TBWP | Total Budget and Workplan |
| TE | Terminal Evaluation |
| TM | Task Manager |
| ToC | Theory of Change |
| TOR | Terms of Reference |
| TRAC | Thematic Resources Assigned from the Core |
| UN | United Nations |
| UNCCD | United Nations Convention to Combat Desertification |
| UNDAF | United Nations Development Assistance Framework |
| UNDP | United Nations Development Programme |
| UNDP-GEF | UNDP Global Environmental Finance |
| UNFCCC | United Nations Framework Convention on Climate Change  |
| UNOPS | United Nations Office for Project Services |
| USAID | United States Agency for International Development |
| WFP | World Food Programme |
| WPO | Woreda Project Officer  |
| WSC | Woreda Steering Committee  |

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# Development Challenge

Ethiopia is a landlocked country with a population of ~101,500,000 people, over two thirds of whom live in rural areas. The country has a Federal State Government system comprising nine regional states, which are further divided into zones, Woredas and Kebeles. Ethiopia’s economy has grown rapidly in the last decade primarily as a result of increased agricultural production and advances in land tenure security. The agricultural sector – which accounts for more than 80% of total employment and 45% of the country’s GDP – is dominated by small-scale rural farmers[[1]](#footnote-2). Approximately 55% of these farmers are cultivating less than a hectare of land, relying on rainfall and traditional farming practices[[2]](#footnote-3). Current practices of cultivating crops and overgrazing of livestock on steep slopes by these farmers[[3]](#footnote-4) contribute towards soil erosion and large-scale land degradation[[4]](#footnote-5). Studies have shown that deforestation is taking place on ~140,000 hectares per year in Ethiopia[[5]](#footnote-6). This poses a threat to long-term agricultural sustainability. Furthermore, women are being left to run households and raise children as men are migrating to urban areas to seek employment opportunities. This increases the burden on rural Ethiopian women, as they are left responsible for running farms. In addition, agricultural productivity is threatened by unsustainable management of natural resources as a result of limited management capacity of Woreda-level government.

Climate change in Ethiopia – which includes rising temperatures[[6]](#footnote-7), more intense rain events, greater variability of mean annual rainfall and a greater frequency of droughts and floods – has greatly intensified the degradation of farmland and watersheds in Ethiopia. All of these climate change effects contribute to a negative cycle of: i) reduced soil organic matter (with concomitant reductions in nutrient availability and water infiltrability); ii) greater runoff of rainwater; iii) increased rates of soil erosion; and iv) reduced agricultural productivity. As a result, local communities in Ethiopian highlands are increasingly vulnerable to climate change because they are experiencing: i) a decrease in stream flows; ii) a decline in groundwater levels; iii) the drying up of springs; iv) the siltation of lakes; and v) an increase in the frequency of floods and droughts. In the project Woredas, flooding is experienced on average, five times per year and has caused 54 people and 240 livestock animals to lose their lives. Climate models[[7]](#footnote-8) show that the intensity and frequency of floods and droughts are likely to increase markedly over the next 50 years, particularly in the Ethiopian highlands. As ~90% of Ethiopia’s population reside in the highlands, a large number of people are at risk to the impacts of climate change, particularly in rural areas[[8]](#footnote-9). Additionally, the yields of certain crops have decreased to such an extent that they are no longer grown. Future climate change will exacerbate the abovementioned impacts thereby increasing local communities’ vulnerability.

The Government of Ethiopia (GoE) has developed a range of policies, plans and strategies that focus on ecosystem restoration and economic development. These include *inter alia*: i) Ethiopia’s National Economic Development Plan, the Growth and Transformation Plan (GTP II 2015-2020)[[9]](#footnote-10); ii) the National Adaptation Programme of Action (NAPA)[[10]](#footnote-11); iii) the Climate Resilient Green Economy (CRGE) strategy[[11]](#footnote-12); iv) Ethiopia’s Programme of Adaptation to Climate Change (EPACC); and v) the Intended Nationally Determined Contribution (INDC) of the GoE. In addition, a number of projects and programmes, which align with the objectives of the proposed Least Developed Countries Fund (LDCF) project, have been implemented. These include *inter alia*: i) Managing Environmental Resources to Enable Transitions (MERET)[[12]](#footnote-13); ii) The Productive Safety Net Programme (PSNP); iii) Sustainable Land Management Programme-II (SLMP-II); and iv) The Great Green Wall initiative (GGW) (Details on the above projects are provided in Annex III: Baseline and aligned project information). However, there is disparity between the objectives of these plans, policies and strategies and what has been implemented because of limited financial and technical capacity at a federal, regional and Woreda-level. Furthermore, there is limited technical capacity, technical and institutional arrangments to translate many of these plans, policies and strategies into on-the-ground action. As a result, many local communities are still at risk to climate-change threats because climate change is not integrated into development planning. There is therefore a need for climate change to be integrated into the development planning and budgetary processes across government levels in Ethiopia.

The proposed LDCF project will provide support to federal, regional and Woreda-level government to integrate climate risks and opportunities into policy- and decision-making, as well as to design and implement climate change adaptation (CCA) interventions aimed at reducing vulnerability and building the adaptive capacity of local communities. In this context, the project will contribute to Ethiopia’s National Adaptation Programme of Action (NAPA) through *inter alia*: i) Key Adaptation Need 24 – Promotion of on-farm and homestead forestry and agro-forestry practices in arid, semi-arid and dry sub-humid parts of Ethiopia; ii) Key Adaptation Need 29 – Strengthening/enhancing drought and flood early warning systems in Ethiopia; and iii) Key Adaptation Need 32 – Enhancing the use of water for agricultural purposes on small farms in arid and semi-arid parts of Ethiopia. In addition, the project will contribute to several Sustainable Development Goals (SDGs), including *inter alia:* i) SDG 8 – Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; ii) SDG 12 – Achieve food security and improved nutrition and promote sustainable agriculture; iii) SDG 13 –Take urgent action to combat climate change and its impacts; and iv) SDG 15 – Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.

Barriers to increasing Ethiopia’s resilience to climate change and reducing livelihood vulnerability.

There are several institutional, technical and financial barriers to effectively reducing and managing the impacts of climate change in Ethiopia. These are discussed below.

* *Limited integration of CCA interventions into land use plans and management of natural resources:* There is insufficient integration in Woreda government structures and local communities across Ethiopia of: i) the role that CCA interventions and ecosystem restoration can have in reducing the negative effects of climate change; and ii) how a cross-sectoral approach – that considers CCA interventions for watershed management and diversification of livelihoods – can increase the adaptive capacity of local communities to the effects of climate change. The effective planning and implementation of CCA interventions in Ethiopian highlands is consequently hampered. In addition, responses to extreme weather events are often reactive rather than proactive because of little access to weather information that is tailored to the needs of local communities. Similarly, ecosystem degradation by local communities is partly a result of sub-optimal knowledge of sustainable natural resource management under current and future climate change conditions. For example, local communities are currently largely unaware that degradation of watersheds results in reduced infilterability of soils which leads to increased erosion and flooding. In addition, reduced infiltration of rainwater into groundwater reserves limits the amount of water entering rivers during dry baseflow periods. Alterations to discharge and associated flashflooding, erosion and siltation of rivers and lakes will all be exacerbated by the effects of climate change.
* *Limited technological, financial and institutional capacity at federal, regional and Woreda levels to support implementation of adaptation interventions:* Although climate change is recognised as a matter of national importance within Ethiopia’s CRGE strategy, the Agriculture Sector Climate Resilient Strategy and the NAPA, the technical and scientific understanding of climate change and adaptation within the country is not well developed. However, efforts to enhance this understanding have been observed. For example, technical capacity building programmes are taking place through several programmes such as the Agricultural Growth Programme (AGP) and PSNP. Despite these programmes, the capacity to undertake climate modelling for Ethiopia, prepare forecasts and issue early warnings can be improved. Gaps in the technical capacity of government technical staff can be attributed to: i) insufficient training of staff employed in relevant departments within the Ministry of Agriculture and Natural Resources (MoANR), Ministry of Environment, Forest and Climate Change (MEFCC), as well as development agents and extension officers (hereafter “extension agents”[[13]](#footnote-14)) at Woreda-level; and ii) understaffing of these ministries and Woreda administrations.
* *Inadequate climate information and monitoring networks/stations:* The main challenge to maintaining accurate and updated climate data is the variable development of Ethiopia’s climate monitoring infrastructure, which hinders the collection and the transfer of such data. Insufficient telecommunication infrastructure is a further challenge, especially to the transfer of data. Internet connectivity and mobile signals are restricted, particularly within rural villages because of the topography and restricted telecommunication network equipment. Subsequently, access to real-time data is limited. This is a barrier to the comprehensive and effective use of climate information and dissemination of early warnings to local communities in Ethiopia and limits appropriate responses to climate change threats.
* *Limited availability and capacity of agricultural extension agents at Woreda-level:* Government extension agents at Woreda-level have sub-optimal access to technical training on the implementation of CCA interventions*.* The extent to which rural farmers adopt and implement climate-smart agriculture (CSA) practices and soil and water conservation (SWC) measures largely depends on the quality and availability of extension services in each area. As a result of the limited capacity of extension agents and poor transfer of knowledge, insufficient information on CCA interventions is reaching local communities.

Although no single initiative can address all of the abovementioned barriers, the proposed LDCF project will deliver three complementary outcomes to contribute towards overcoming them by focusing on: i) increasing technical and institutional capacity of communities, federal, regional and Woreda-level government structures to integrate climate change risks and opportunities into development planning, budgeting and execution; ii) improving climate information and the dissemination of early warnings to local communities; iii) investing in climate-smart integrated watershed management for improved soil fertility, rainwater harvesting and retention; iv) introducing CSA and livestock rearing practices; and v) promoting opportunities for diversified livelihoods.

# Strategy

As described in Section II, local communities across the Ethiopian highlands face several institutional, technical and financial barriers to effectively reduce and manage the impacts of climate change. The objective of the proposed LDCF project is to mainstream climate risks into national and sub-national planning processes thereby increasing the resilience of local communities across the Ethiopian highlands to climate change. In so doing, the project will target communities in eight Woredas (Dessie, Dawa Chefe, Yaya Gulele, Sebeta Awas, Hawassa, Arba Minch, Atsbi Wenberta, Tahtay Koraro) across four regions (Amhara, Oromia, Tigray and the Southern Nations, Nationalities and Peoples’ (SNNP) Region). The total population of the eight target Woredas is ~1,1 million people (52% women and 48% men), comprising ~228,800 households.

The preferred solution is to create sustainable and climate-smart economic growth among vulnerable communities across the Ethiopian highlands. By adopting a participatory planning approach[[14]](#footnote-15) to CCA at the watershed level, the proposed LDCF project will contribute towards this solution. Technical and institutional capacity building will take place at national, regional and Woreda-level to improve the understanding of relevant administrators on climate change risks and opportunities. CCA interventions will include the implementation of SWC measures and CSA practices. These SWC measures and CSA practices will: i) be site-specific; ii) build upon existing physical structures from previous projects in the Woredas; iii) promote a system in which losses are reduced during extreme climate and weather events; and iv) be designed so as to prepare for future climate change. The proposed project activities will consequently: i) build on the existing adaptive capacity at the watershed level; ii) increase the availability of natural resources and ecosystem functioning under conditions of future climate change through the climate-smart restoration of degraded watersheds; iii) improve agricultural productivity under future climate change; and iv) strengthen rural livelihoods by diversifying income-generating opportunities. Through integrated watershed and landscape management, the project will address the inter-linked issues of climate change, food insecurity, land degradation and water scarcity.

*National benefits*

Various GoE ministries, including the MoANR, MEFCC, Ministry of Water, Irrigation and Electricity (MoWIE) and the National Meteorology Agency (NMA) will benefit directly through the holding of regional seminars. All ministries at federal level have a division for specialised coordination of sectors, while at regional level, ministries are structured as independent bureaus with several divisions that mimic federal-level structure. The technical and institutional capacity of these ministries will be enhanced through these seminars, thereby enabling the integration of climate change into development planning and budgetary processes. In other countries, capacity development has been proven[[15]](#footnote-16) to enhance government officials’ knowledge of climate change concepts thereby improving their ability to integrate climate change into government budgetary processes and to leverage private sector investment into watershed management. By incorporating climate change considerations into national and sub-national development plans, climate-smart interventions will be implemented beyond the timeframe of the proposed LDCF project. Furthermore, the close involvement of government ministries in project planning and implementation will ensure that the project is aligned with national initiatives to maximise benefits at all levels of governance. In addition, by implementing CCA interventions, this LDCF project will support the GoE in reaching its development targets[[16]](#footnote-17) and the SDGs.

*Local benefits*

At a local-level, this LDCF project will deliver adaptation benefits to vulnerable communities in eight Woredas (see Table 1 and Table 2 in Annex III and Table 3 in Annex IV), across four regions, reaching ~55,000 people across the Ethiopian highlands. Climate-smart watershed restoration has three main benefits: i) natural ecological processes such as water catchment, water infiltration into soils, and flood mitigation are restored; ii) soil fertility is improved, thereby enabling increases in agricultural yields and; iii) income-generating activities and off-farm business opportunities are created that diversify livelihood opportunities. Through the adoption of a climate-smart approach that focuses on diversifying livelihood opportunities and implementing CSA, the activities of this project will: i) increase the resilience of targeted local communities to climate change impacts; ii) increase the uptake of climate-resilient livelihood practices that are sustainable thereby placing reduced pressure on natural resources than would traditional livelihood practices; iii) establish agricultural systems that have reduced losses during drought years and even greater productivity during optimal years; and v) maximise the benefits accrued from project sites so as to provide income-generating activities that diversify livelihood opportunities.

The dissemination of early warnings and agrometeorological information to local communities in a user-friendly format will allow for climate-smart planning amongst various stakeholders. For example, such information will inform: i) agricultural planning amongst farmers in response to drought warnings; ii) flood mitigation measures by community groups in response to flood warnings; and iii) precautionary measures by livestock herders to protect livestock when heat-waves are predicted. Emphasis will be placed on improving the detail of weather forecasts and their usefulness to end-users. In particular, there will be strengthening of early warnings and rapid response strategies across the eight project Woredas. In so doing, the project will build on the project entitled ‘Strengthening climate information and early warning systems in Eastern and Southern Africa for climate resilient development and adaptation to climate change’[[17]](#footnote-18). This forms part of the regional programme entitled ‘Climate Information for Resilient Development in Africa’ (CIRDA). The proposed LDCF project will contribute towards crossing the “Last Mile”[[18]](#footnote-19) of the CIRDA programme. In Ethiopia, the CIRDA programme is focussing on: i) upgrading the meteorological network; ii) improving the accuracy and frequency of local weather forecasts; and iii) providing local communities with downscaled, useable weather information for informed decision making. Through Component 2 of the proposed LDCF project, activities are designed in alignment with the CIRDA Ethiopia Programme in order to extend its reach to new Woredas. Improved climate information will enable CSA practices to be adopted that are resilient to present and future climate change. Consequently, agricultural productivity will be enhanced and day-to-day business as usual activities across various sectors – including *inter alia* tourism, business and government work – will be planned and optimised according to improved weather information.

A further benefit gained through the dissemination of early warnings will be the ability to coordinate a timely response by local communities to extreme weather events. This will reduce damage to property and loss of human lives, particularly in flood-prone project sites such as the Dessie and Arba Minch Woredas. Dissemination of early warnings and agrometeorological information will take place through monitoring and management committees which will include community groups – particularly women’s groups – who are involved in decision-making processes at community level. Involving women in the transfer of climate information will enable them to make informed decisions on running households under climate change conditions.

A number of baseline projects are ongoing across the eight target Woredas. In addition to the SWC measures being implemented through these baseline projects, each local Woreda government has formulated relevant development plans. These plans are aligned with Ethiopia’s GTP-II and include watershed restoration through the implementation of biological and/or physical SWC measures. See Annex III: Baseline and aligned project information, for a detailed description of each of the baseline projects in the eight targeted Woredas. The foundation provided by these baseline projects has been used to design the proposed LDCF project. The existing SWC measures and restoration measures of the baseline projects will be made climate-smart in a number of ways, including *inter alia* by: i) increasing the dimensions of physical structures such as terraces to buffer against increased erosion expected under future climate change; ii) planting indigenous climate-resilient tree species; iii) constructing flood diversion structures; and iv) introducing harvesting structures such as micro-basins to increase groundwater recharge.

An example of the benefits of watershed restoration is in the project entitled Managing Environmental Resources to Enable Transitions to more Sustainable Livelihoods Programme (MERET). On average, each participating household generated an additional ~US$50 (~1200 Ethiopian Birr) over 12 months[[19]](#footnote-20). Additionally, increased food-security was observed in MERET households compared to non-MERET[[20]](#footnote-21) households. Furthermore, participating households showed increased resilience and better coping strategies to shock events than control households because of a wider variety of income sources. However, the MERET programme did not have climate change integrated in the design of project activities. The proposed LDCF project will implement similar activities to those in the MERET programme, but will generate greater environmental and economic benefits by integrating climate change in all aspects of the project design.

Local communities that participated in the MERET programme – particularly in the Tigray Region – attributed the increases in income and food-security to improved agricultural yields, which were linked to the implementation of the SWC measures, improved land management and resulting increases in water availability. Building on this example from MERET, the proposed LDCF project will diversify on and off-farm employment opportunities to benefit local communities – including landless women and youths – under future climate change by creating alternative and year-round sources of income, rather than having people rely on seasonal returns from agriculture alone. Thus, by introducing multiple income streams and improved, climate-smart watershed and landscape management, the adaptive capacity of local communities will be enhanced.

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**Figure 1**: Theory of Change (ToC) for proposed LDCF project.

# Results and Partnerships

1. Expected Results*:* The objective of the proposed LDCF project is to mainstream and strengthening climate risk considerations into federal, regional and Woreda-level planning processes so that local communities across the Ethiopian highlands are more resilient to climate change. To achieve this objective, the project will support improved land use planning and decision-making to respond to flood and drought at a Woreda-level. The project will also reduce the vulnerability of local communities in the Ethiopian highlands to climate change through the implementation of climate-smart watershed restoration and management measures. The abovementioned objective will be achieved through three integrated and complementary outcomes presented in detail below. For details on the outputs and activities associated with each outcome, please see Annex IV: Project outputs and activities.

**Component 1: Capacity development.**

**Outcome 1:** *Capacities enhanced for climate-resilient planning among communities, Woreda, regional and federal governments. (LDCF project grant requested: $ 796,780 and co-financing: $ 950,000)*

Without LDCF-finances (baseline situation): Climate change is a relatively new concept for Woreda administrators, technical experts and other stakeholders in Ethiopia. Currently, there is only limited ongoing projects/programmes in Ethiopia that focus on building the capacity of government officials to integrate climate change risks and opportunities into: i) annual, medium- and long-term socio-economic development plans; ii) public budget allocations; and iii) decision-making processes. At a sub-national level, human capacity development programmes are being implemented in certain Woredas with the support of the regional extension agents. However, the scope of these programmes does not extend to integrating climate change considerations into development planning and budgetary processes.

During the PPG phase of this project, Woreda-level administrators expressed a need for knowledge-sharing in order to keep up to date with relevant climate-information and best practices. This is primarily because there are no systematic programmes or plans for updating the skills of extension agents and administrators to keep them appraised of new developments in the science and practice of CCA. Apart from generic technical publications, extension agents and administrators have little else in the way of informative materials and extension aids to support their work and effectively inform farmers of innovative adaptation approaches. New and improved CCA interventions – stemming from local and international best practices – are as a result not currently being disseminated effectively to farmers in the Ethiopian highlands.

With LDCF-financed intervention (adaptation alternative): The proposed LDCF project will enhance the technical and institutional capacity of federal and regional government officials in the MoANR, Ministry of Livestock and Fisheries (MoLF); Ministry of Finance and Economic Cooperation (MoFEC), MEFCC, NMA and MoWIE to integrate climate change risks and opportunities into development planning and budgetary processes. This will be implemented through a “training the trainers” approach so that technical expertise can continue to be passed on to Woreda-level experts and decision makers beyond the duration of the proposed project. A two-year capacity development strategy will be implemented to strengthen the skills and decision-making capacity of federal, regional and Woreda-level government officials.

The project will also support the MoANR – and other relevant line ministries – in integrating climate change adaptation considerations into the current extension services strategy and approach within the eight targeted Woredas. This updating and reorienting of extension services will result in ~160 agricultural extension agents receiving training on climate change and the planning, design and implementation of CCA interventions. As a result, the operational capacity of extension services will be boosted to enable local communities within the Ethiopian highlands to mainstream climate change considerations into the implementation of baseline initiatives. Technical staff and extension agents will engage with the local communities in the design and implementation of CCA interventions. A wider acceptance of CCA interventions amongst local communities will be promoted through training workshops, knowledge-sharing exchange visits, effective advisory services and the closer involvement of extension agents in farmer schools, demonstrations and field activities. These interventions will also ensure the sustainability of the interventions beyond the duration of the project.

To address the limited access to adaptation technologies and information, the project will facilitate the establishment of an annual knowledge-sharing forum. The purpose of the forum will be for various stakeholders to share their experiences and innovations, thereby strengthening adaptation planning by increasing access to information, technical support and knowledge. Lessons learned from the PSNP-4 and MERET programmes highlight the importance of establishing such a knowledge-sharing forum.

The outputs under Outcome 1 include:

* Output 1.1: Development of strategies for capacity development and training programs based on assessment of the capacity and resource needs of MoANR, MoLF, MoFEC, MEFCC, MoWIE and NMA at federal, regional and Woreda-level to build climate resilience.
* Output 1.2: Training programmes for development of staff from MoANR, MoLF, MoFEC, MEFCC, NMA and MoWIE at federal, regional and Woreda-level on climate change and climate-resilient planning.
* Output 1.3: Training of extension agents and local communities to integrate climate change into planning processes.
* Output 1.4: Annual knowledge-sharing forum of regional and Woreda-level sectoral experts, extension agents and community representatives.
* Output 1.5: Public awareness-raising campaign and training programme for local communities –including for women and youths – on the implementation of climate-resilient adaptation interventions and diversified livelihoods.

**Component 2: Climate risk information.**

**Outcome 2**: *Use of climate information for climate risk management strengthened –including for women and youths. (LDCF project grant requested: $ 701,525 and co-financing: $ 1,500,000)*

Without LDCF-finances (baseline situation): At present, infrastructure for meteorological purposes is limited across Ethiopia. Weather-information generation, analysis and decision-making in Ethiopia is also taking place on an *ad hoc* basis. Where meteorological stations are in place, weather information is currently collected manually on a daily basis by hand. This is sent to a regional office where it is checked for inconsistencies and ultimately to the central NMA office in Addis Ababa where data is manually entered into computers. There is however, no formal institutionalised system in place to provide each Woreda with tailored climate information – particularly “agro-meteorological” information – in a manner that will provide guidance to local communities on how to respond to extreme weather events or adjust their farming methods accordingly.

Currently, downscaled weather forecasting is available. However, this information is only available at a low resolution and is therefore often unreliable and of little assistance to end users. Experts within the Woredas use the information available to advise local communities on how to protect their property and themselves from the negative effects of climate change. In this context, the local administrators meet with local communities to discuss impending extreme weather events – particularly during harvest time. These discussions focus on how to prevent or minimise damage to crops and livestock. However, the actions decided upon at such meetings are not timeously decided upon and implemented, which limits the positive effects thereof.

With LDCF-financed intervention (adaptation alternative): The proposed LDCF project will strengthen the existing climate information and early warning systems at national and Woreda-level through: i) investments in the meteorological network; and ii) capacity building in government institutions for integrating local weather and climate information into planning processes and disseminating early warnings. In so doing, the project will align with the activities of the CIRDA Programme and extend the benefits thereof to additional Woredas in Ethiopia. The focus will therefore be on enhancing the level of climate information that reaches local communities and ensuring that site-specific, tailored forecasts are disseminated effectively.

Under this outcome, the project will upgrade existing weather stations in: i) Hawassa; ii) Arba Minch; iii) Atsbi Wenberta; and iv) Tahtay Koraro. The project will procure and install new Automatic Weather Stations (AWS) in: i) Dessie; ii) Dawa Chefe; iii) Yaya Gulele; and iv) Sebeta Hawas. The local weather and climate information generated will be utilised in local planning processes and will be incorporated by the NMA with ongoing satellite/station monitoring initiatives. This integration of local weather and climate information will support the downscaling of seasonal weather forecasts for the eight target Woredas. Committees will be established in each of the Woredas – including *inter alia* NMA representatives, extension agents and community representatives – which will utilise climate and non-climate information in the development of decision-making support tools for agricultural risk management. These tools will consequently be used to inform land management decisions.

Early warning and quick response strategies will be developed for climate-related events which pose a threat to peoples’ lives and property. For example, Arba Minch, Dawa Chefe and Hawassa are threatened by regular floods and will benefit from early flood warnings. In addition, risk and hazard communication strategies will be developed. The design of these strategies will involve extensive consultations with local communities to ensure that the early warnings generated are in the relevant communities’ preferred language, take into account gender roles and are standardised according to a set communication protocol. Furthermore, capacity development programmes will target Woreda-level representatives and regional NMA staff to enable them to provide agro-meteorological information packages to farmers for dealing with climate-related threats. Local communities will also receive training on the climate information and early warning system (EWS), which will include training on data collection, monitoring and transmission.

The outputs under Outcome 2 include:

* Output 2.1: A functional climate information and Early Warning System to monitor weather conditions.
* Output 2.2: Community-based climate forecast and decision-making support tool.
* Output 2.3: Capacity development of extension agents, CBOs (women’s groups, school clubs and youth groups) as well as farmers on climate information and monitoring systems.

**Component 3: Adapted livelihoods.**

**Outcome 3:** *Adapted and diversified income and employment opportunities generated for local communities, with a focus on climate-smart agriculture and integrated watershed management. (LDCF project grant requested: $ 4,484,695 and co-financing: $ 8,000,000)*

Without LDCF-finances (baseline situation): Agriculture is the main source of income for many Ethiopians, particularly in the highland areas. Because these areas are characterised by wide-scale degradation, agricultural activities are increasingly being carried out in marginal areas. The local communities have adopted several techniques to combat erosion, such as construction of terraces, water diversion furrows, contour ploughing and soil-stabilisation through the planting of indigenous and exotic plant species. These techniques are inconsistently applied and the structures built are poorly maintained, which can exacerbate the effects – such as soil erosion – that they are intended to contain.

To reverse land degradation and to improve rural livelihoods, the government is implementing several programmes. However, these programmes are not multi-sectoral and usually narrowly focused on land production without a due consideration of services of broader watershed landscapes. Neither do they take the projected effects of climate change on farming systems into account in their strategies. In addition, current land use planning fails to adequately integrate climate change considerations into short-, medium- and long-term development planning. Long-term investments in developing agricultural land are subsequently being implemented without the benefit of appropriate climate-related information being considered. For example, inadequate knowledge regarding flood discharges and the sediment concentration of flows undermines the effectiveness of current physical interventions – particularly diversion structures and flood control measures. Consequently, such structures and measures have been regularly breached and canal networks blocked with sediment deposits. Furthermore, decreases in vegetative cover from deforestation are increasing surface runoff and flooding causing valuable water resources to be lost before groundwater reserves are replenished. The combined impacts of unsustainable land management and climate change will consequently undermine the effectiveness of the existing initiatives.

With LDCF-financed intervention (adaptation alternative): At the Woreda-level, the proposed LDCF project will increase the resilience of communities living within the Ethiopian highlands to climate change through climate-smart interventions that: i) enhance the functionality of watersheds; ii) increase agricultural productivity; iii) diversify livelihoods; iv) introduce new income streams for local communities; and v) provide equal opportunity for men and women. Afforestation of degraded watersheds with multi-use indigenous plant species promotes livelihood diversification through access to value-added resources such as fruit, fibre and fodder. Furthermore, watershed restoration results in increased groundwater infiltration, making more water available for agricultural activities (more information under Component 3 in Annex IV). An evaluation of the impacts of MERET interventions on participating communities showed increased resilience to shocks and a greater variety of coping strategies. The project will therefore build on the benefits that arose from the MERET programme and upscale such benefits in other Woredas within the Ethiopian highlands. Capacity needs assessments will be undertaken to prioritise both risks and opportunities related to climate change and inform the adaptive management of watersheds. Based upon the results of the assessments and by using traditional knowledge, integrated watershed and landscape management plans will be developed in collaboration with the local communities in each of the eight target Woredas. These site-specific management plans will in turn inform the implementation of appropriate climate-smart SWC measures and CSA practices. The Ministry of Health (MoH) will be consulted to ensure that the design of the SWC measures and water-harvesting structures does not increase the risk of water-borne diseases in project areas.

With regards to CSA practices, studies have shown that increased soil organic matter and root density from CSA measures can result in an additional 150 m3 per hectare of water storage in soil[[21]](#footnote-22). Water infiltration is also enhanced thus recharging aquifers and providing more water available for agriculture. The revegetation of slopes will also increase water infiltration and SWC measures will therefore include reforestation. However, exotic plant species pose the risk of becoming invasive. Studies have shown that invasive species use more water than native plant species and tend to cause higher levels of evapotranspiration[[22]](#footnote-23). Thus, exotic plant species could further limit water supply in drought-prone areas. Reforestation and biological SWC measures[[23]](#footnote-24), will therefore place emphasis on using native plant species that offer increased resilience to climate change by using less water compared to exotic species.

A particular focus of the project will be to increase and diversify income streams for women-headed households and youth in agricultural as well as off-farm activities (Output 3.3 in Annex IV). Landless farmers[[24]](#footnote-25) will also benefit from diversified livelihood opportunities, as often they rely on limited income from farming on communal lands. Training programmes will be held to inform local communities on the production of bankable business plans which will enable them to leverage finance from microfinance institutions (MFIs) for the upscaling of climate-smart watershed restoration in areas outside of the eight target Woredas (Output 3.4 in Annex IV). Finance can be used for short-term credits for crop inputs as well as medium to long-term credits for investments in adaptation interventions listed for Component 3 in Annex IV.

The project will also implement public awareness campaigns and training programmes using participatory experiential learning methods. In addition, a monitoring strategy will be developed for the long-term monitoring and evaluation of the project activities. The knowledge products generated will be disseminated to stakeholders through the annual knowledge-sharing forum and will inform future policy- and decision-making, as well as CCA interventions elsewhere in Ethiopia.

The outputs under Outcome 3 include:

* Output 3.1: Vulnerability assessments and integrated watershed management and landscape management plans.
* Output 3.2: Integrated watershed management across the eight target Woredas.
* Output 3.3: Climate resilient livelihood diversification interventions (both on-farm and off-farm) introduced.
* Output 3.4: Strategy for monitoring, evaluating and upscaling activities, including potential for local investment by microfinance institutions (MFIs).
1. Partnerships:The proposed LDCF project will align with the following baseline projects to maximise benefits to the recipient local communities: i) Productive Safety Net Programme-4 (PSNP-4); ii) Household Asset Building Programme (HABP); iii) Sustainable Land Management Programme (SLMP); iv) Agricultural Growth Programme; and v) World Vision. Details of other GEF/LDCF/SCCF projects and each of the baseline projects – including a description of how the LDCF project will build on the projects’ activities – are given in Annex III: Baseline and aligned project information, in tabular format. Each of the aforementioned projects has a similar overall objective to that of the LDCF project. To align with the baseline projects, climate change risks and opportunities will be integrated into the existing capacity development programmes at a national and sub-national level. Technical capacity building is currently being undertaken by a number of the baseline projects, including *inter alia* the PSNP-4 and SLMP. Through Components 1 and 2, the LDCF project will further the ongoing technical capacity development programmes by updating extension portfolios and ensuring that CCA is an integral component of such programmes. In addition, ongoing watershed restoration initiatives of the baseline projects will be strengthened by the inclusion of climate-smart SWC measures and CSA practices. The adoption of additional income-generating activities will also be encouraged by the LDCF project, which is a main focus of HABP.
2. Stakeholder engagement*:* The implementation strategy for the proposed LDCF project includes extensive stakeholder participation. Details of the stakeholder participation during the PPG phase are provided in the table below. At a broad level, participation and representation of stakeholders will be conducted through the governance structures to be put in place by the project as outlined and depicted in the organigram in the Governance and Management Arrangements (section VIII), and through the existing structures at national and local/village levels (e.g. women’s associations). A stakeholder engagement plan for the implementation phase will be developed during the project inception workshop. Stakeholders will be consulted throughout the project implementation phase to: i) promote community understanding of the project’s outcomes; ii) promote local community ownership of the project through engaging in planning, implementing and monitoring of the CCA interventions; iii) communicate to the public in a consistent, supportive and effective manner; and iv) maximise synergies with other ongoing projects.

**Table 1. Matrix of stakeholder participation**

|  |  |  |  |
| --- | --- | --- | --- |
| **Outcome**  | **Output** | **Stakeholder** | **Key responsibilities** |
| **Outcome 1:** Capacities enhanced for climate-resilient planning among communities, Woreda, regional and federal governments. | **Output 1.1:** Development of strategies for capacity development and training programs based on assessment of the capacity and resource needs of MoANR, MoLF; MoFEC, MEFCC, MoWIE and NMA at federal, regional and Woreda-level to build climate resilience. | MoANR, MoFEC, MoLF, MEFCC, NMA and MoWIE. | * Coordinating capacity and resource needs assessment.
* Overseeing preparation of capacity development programmes.
* Facilitating communication within ministries across national, regional and Woreda-levels.
 |
| **Output 1.2:** Training programmes for development of staff from MoANR, MoLF; MoFEC, MEFCC, NMA and MoWIE at federal, regional and Woreda-level on climate change and climate-resilient planning. | MoANR, MoLF, MoFEC, MEFCC, NMA and MoWIE. | * Overseeing implementation of capacity development programme.
* Facilitating organisation of national, regional and Woreda-level workshops.
 |
| **Output 1.3:** Training of extension agents and local communities to integrate climate change into planning processes. | MoANR, MEFCC, MoLF, MoWIE, NMA, local communities, NGOs. | * Overseeing implementation of technical training.
* Development of technical manuals and revision of extension service portfolios to include climate change considerations.
* Facilitating field site visits.
 |
| **Output 1.4:** Annual knowledge-sharing forum of regional and Woreda-level sectoral experts, development agents and community representatives. | MoANR, MEFCC, MoWIE, NMA, MoFEC, local communities, CBOs, NGOs. | * Development of knowledge-sharing forum.
* Establishment of linkages between project coordinators and international institutions.
* Documenting and disseminating lessons learned.
 |
| **Output 1.5:** Public awareness-raising campaign and training programme for local communities – including for women and youths – on the implementation of climate-resilient adaptation interventions and diversified livelihoods.  | MoANR, MEFCC, MoLF MoWIE, NMA, Woreda Steering Committees; CBOs, local communities. | * Overseeing public awareness campaigns.
* Coordinating training on CCA measures.
* Overseeing review and production of technical training manuals on CCA interventions.
 |
| **Outcome 2:** Use of climate information for climate risk management strengthened – with a focus including for women and youths. | **Output 2.1:** A functional climate information and early warning system to monitor weather conditions. | NMA, MEFCC, MoANR, MoWIE, extension agents, CBOs, local communities. | * Overseeing the capacity and equipment needs assessment at national, regional and Woreda-level.
* Coordinating the procurement of equipment.
* Collaborating in development of protocols for data collection, monitoring and transmission.
 |
| **Output 2.2:** Community-based climate forecast and decision-making support tool.  | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities. | * Facilitating establishment of monitoring and management committees.
* Facilitating development of risks and hazards communication strategies.
* Engaging in establishing early warning systems and advise on methods of disseminating information.
 |
| **Output 2.3:** Capacity development of extension agents, CBOs (women’s groups, school clubs and youth groups) as well as farmers on climate information and monitoring systems.  | NMA, academic institutions, CBOs, CBOs, local communities. | * Coordinating capacity development workshops.
* Overseeing dissemination of training material.
 |
| **Outcome 3:** Adapted and diversified income and employment opportunities generated for local communities, with a focus on climate-smart agriculture and integrated watershed management. | **Output 3.1:** Vulnerability assessments and integrated watershed management and landscape management plans.  | NMA, MEFCC, MoANR, MoH, MoLF, MoWIE, NMA, extension agents, CBOs, local communities. | * Engaging in vulnerability assessments.
* Facilitating preparation of integrated watershed management and landscape management plans with specialist consultants.
 |
| **Output 3.2:** Integrated watershed management across the eight target Woredas.   | NMA, MEFCC, MoANR, MoLF, MoWIE, NMA, extension agents, CBOs, local communities. | * Implementing a range of Climate-smart agriculture technologies and SWC measures.
* Establishing agricultural demonstration plots at each of the project intervention sites.
* Establishing water user groups.

  |
| **Output 3.3:** Climate resilient livelihood diversification interventions (both on-farm and off-farm) introduced. | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities. | * Developing and implementing a range of additional income-generating activities.
* Engaging in market analysis for value addition to agricultural products.
* Coordinating training workshops.
 |
| **Output 3.4:** Strategy for monitoring, evaluating and upscaling activities, including potential for local investment by microfinance institutions (MFIs).  | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities and MFIs. | * Participating in training on business plan development.
* Engaging in the development of upscaling and M&E strategies.
 |

1. Mainstreaming gender: Gender is a complex issue in Ethiopia, with the country having some of the lowest gender equality performance indicators in sub-Saharan Africa. Indeed, Ethiopia ranks 124 out of 134 countries in terms of the magnitude and scope of gender disparities[[25]](#footnote-26). Although women have equal rights in terms of Article 25 of the Constitution, they are still disadvantaged in terms of literacy, health, livelihoods and basic human rights – particularly access to economic opportunities and decision-making. A recent study[[26]](#footnote-27) shows that approximately a quarter of Ethiopian women are not involved in individual and family decision-making processes. Such decisions are traditionally made by their husbands. Gender equality is however incorporated in the country’s legal frameworks, including the National Policy on Women (1993) and the National Poverty Reduction Strategy – which includes gender equality as one of its eight pillars.

Women disproportionately bear the burden of poverty in Ethiopia. This is largely a result of the gendered division of household labour[[27]](#footnote-28) and the limited access to and control over resources. The majority of agricultural labour in rural communities within Ethiopia is provided by women. However, they have restricted access to resources[[28]](#footnote-29) and community participation is usually mediated by men. In addition, the extent of their agricultural contributions are largely unrecognized. Any income that women generate – and have access to – is traditionally spent on the betterment of their families and paying for school tuition. As a result, limited to no income is spent on developing their families’ resilience to climate change threats through for example, purchasing climate-resilient crops for home gardens. These aspects contribute to the vulnerability of women and girls to the negative impacts of climate change.

NGOs and development partners (including *inter alia* UNDP and USAID) are currently promoting women’s decision-making powers in Ethiopia so that they play a more active role and are better able to influence personal, family and community decisions. The proposed LDCF project will therefore promote gender equality and women’s empowerment within the eight target Woredas by providing income generating opportunities[[29]](#footnote-30) and including women in all training and decision-making processes. In so doing, the project will improve access to economic opportunities as well as to extension services and training programmes so as to create opportunities for more equitable participation in society. The project will consequently build on and seek to alleviate gender issues likely to be imposed by climate change regimes on natural resource based livelihoods. With regards to livelihoods, few women have access to assets that make them eligible for the establishment of rural savings and credit cooperatives. Furthermore, they have limited skills to engage in income-generating activities. The result is that Government strategies typically cater for the needs of male farmers. Accordingly, the project will target women under Output 1.5 and Output 3.3 to participate in income-generating activities. Women will receive training on the basics of income generation as well as specific income-generating activities suitable to their location. Local development agents will provide them with continual technical support including appropriate technology, market information and business management. Furthermore, by organizing interventions through women’s associations[[30]](#footnote-31) under output 3.1, there will be greater equity of participation and influence. These interventions will influence not only land use decision-making, but negotiating control over the benefits of agricultural production too[[31]](#footnote-32). By promoting shared household decisions[[32]](#footnote-33), the project will simultaneously be promoting gender equity within the eight target Woredas.

Gender considerations will therefore be mainstreamed into the project’s activities – including the various training and capacity-building programmes – to ensure that women’s resilience and income-generating abilities are enhanced. Women’s groups and female headed households will be targeted and technical support and advice will be sought from such groups during the project implementation period to ensure that women’s needs in the target Woredas are being properly addressed. The project is strongly gender responsive and through project design, has identified and embedded opportunities to increase youth and female participation in the project’s activities and decision-making processes. These include:

* Inclusion of youth and gender-disaggregated indicators and targets in the results framework of the project, specifically for participation at government and community training workshops, demonstration activities and in management committees.
* Targeting of gender- and youth-differentiated vulnerabilities into project interventions so that the most climate vulnerable groups within a community receive support from the project.
* Participation of stakeholders through project planning and implementation to ensure that youth and gender considerations are appropriately mainstreamed into project activities.

Please see Section VI – the Project Results Framework – for project indicators and targets that include gender considerations.

1. South-South and Triangular Cooperation (SSTrC): This project is country specific, however, it borrows from the global principles of CCA practice. Consequently, there is no planned collaboration with other countries for the implementation of project activities.

# Feasibility

1. Cost efficiency and effectiveness*:* The SLMP-I (2008–2013) demonstrated the importance of a holistic approach to soil and water conservation to the development of sustainable productivity and livelihoods for communities in Ethiopia. Lessons learned from the SLMP-I are incorporated into the strategy for the SLMP-II (2013–2019), including community-driven planning and diversified livelihoods options for women and youth. The proposed LDCF project is aligned with the SLMP, and lessons learned from 2 decades of SLMP experience were used to inform the design of the proposed LDCF project. The design is corroborated by information presented in the NAPA of Ethiopia, particularly with regards to the selection of cost-effective measures. In the development of the NAPA, multi-criteria analyses were undertaken as part of the NAPA process in order to prioritize actions according to their potential for positive effects on economic development, social capital and environmental management. As such, the actions proposed by the NAPA are not only the most urgent and most pressing, but have also been assessed to be cost-effective. The proposed LDCF project aligns with the priorities of the NAPA (see Section II – Development Challenge) in order to implement necessary actions that have already been identified as cost-effective.

During the PPG phase, the following cost-effective measures were identified for the project: i) implementing a participatory, integrated approach to CCA at watershed level; ii) conducting a range of training workshops, seminars and awareness raising activities for stakeholders; and iii) building on existing capacity building initiatives and physical/biological SWC and CSA measures. These measures were identified as no-regret[[33]](#footnote-34), tangible and cost-effective as they: i) prioritise the needs of local communities in the project design; ii) optimise the spending of project funds on meeting the needs of the local communities; and iii) ensure that the project is well understood by beneficiaries to promote project success and efficient use of finances. The costs of CCA interventions were determined through consultations undertaken at Woreda-level, as well as at community level with the involvement of local administrators. Additionally, vulnerable groups including smallholder farmers, women and unemployed youths were consulted during the PPG phase to ensure maximum benefits to all project beneficiaries for further information, please see Annex I: Baseline situation in each project Woreda; and Annex V: National Consultant’s summary of consultations with women and youths.

In order to reduce costs by avoiding duplication, the proposed LDCF project will pursue active partnerships with other ongoing initiatives, including both GEF-financed projects and non-GEF projects. Moreover, existing physical SWC measures will be modified to prepare for the impacts of future climate change. This is a cost effective approach as the cost of building new structures is avoided. Additionally, the project will build on the lessons learned and best practices gathered from past and current projects (see Annex III: Baseline and aligned project information, for a description of baseline projects used in the design of this project). In particular, lessons from the MERET programme indicate the importance of aligning with ongoing government programmes and upscaling project activities to new areas[[34]](#footnote-35). The MERET programme was not closely aligned with other projects and was implemented primarily as a stand-alone project and the upscaling of interventions was therefore limited. Furthermore, insufficient monitoring and evaluation made it difficult to quantify the impact of the programme, which reduced funding prospects and upscaling opportunities. Shortages in funding ultimately forced the phasing out of the programme. The design of the proposed LDCF project ensures that the documented challenges experienced in MERET and other projects will be avoided. Cost effectiveness will also be an integral factor when designing CCA interventions within each Woreda’s integrated watershed management and landscape management plans under Output 3.1. To ensure cost effectiveness, CCA interventions will be selected that i) maximise climate benefits; ii) require mostly local resources for development; and iii) are inexpensive and simple to maintain. Moreover, cost effectiveness will be measured as part of the monitoring and evaluation of project activities.

The proposed LDCF project will enhance and make use of existing national, regional and Woreda-level structures where possible. Project implementation will be almost exclusively undertaken by existing government structures. This approach is particularly cost effective, as it reduces costs that would otherwise have been spent on operationalising new, stand-alone structures. Additionally, the project activities will build the capacity of the GoE for ongoing and more widespread implementation of similar CCA projects. Moreover, the size of the Project Management Unit (PMU) has been given careful consideration by stakeholders during the PPG phase – to avoid overstaffing whilst still ensuring effective management of the project – to keep costs down. The selection of existing government staff for the PMU will also ensure that finances spent on capacity development through the course of the project are a long-term investment into the functioning of the GoE – should the staff be retained within government institutions.

Importantly, the proposed LDCF project includes technical training for local communities on implementing, maintaining and monitoring project interventions. A “training the trainers” approach will be adopted whereby extension agents will undergo technical capacity building. This is a cost-effective approach as it reduces the number of beneficiaries that will undergo direct training but will also enable the project to reach a wider audience as the trainers themselves will further disseminate climate change concepts amongst local communities. The training of local communities in conjunction with the adoption of a participatory “learning by doing” approach will further promote sustainability and upscaling of the interventions beyond the lifespan of the project.

The design of the proposed LDCF project is based on best practices known to be cost-effective gathered from rigorous scientific studies and project reviews from other projects in Ethiopia. This approach will ensure that LDCF finances are used to deliver maximum socio-economic and ecological benefits to local project beneficiaries. For example, the focus on strengthening exclosure sites under Output 3.2 (see Annex II) - in particular by planting indigenous trees and implementing site specific SWC measures and CSA practices – is based on the knowledge that such investments have intentional and additional long-term ecological and financial benefits to surrounding areas[[35]](#footnote-36),[[36]](#footnote-37). Furthermore, CSA techniques have proven to be low-input, high-value activities that reduce the vulnerability of local communities[[37]](#footnote-38). In Atsbi Wenberta Woreda, for example, an integrated watershed restoration project resulted in agricultural yield increases of between 60 and 100%[[38]](#footnote-39).

The proposed CCA interventions are known to have measurable impacts on the livelihoods of local communities in terms of income generation, improved agricultural yields and resilience to extreme weather events[[39]](#footnote-40). Certain short-term benefits associated with CSA will be evident during project implementation. By way of example, local communities will experience improved yields and concomitant increases in income generation from planting drought-resistant crop varieties. Other benefits may however only be realised up to five years after implementation begins[[40]](#footnote-41). Although these benefits may not be visible in the short-term, the long-term effects thereof will be realised for decades after project implementation[[41]](#footnote-42). For example, sites restored through the MERET programme are still being maintained by beneficiary communities over 10 years after project interventions ended. The economic and ecological benefits of the programme’s interventions are clearly visible as these sites have retained dense vegetative cover and have increased water availability compared with adjacent non-target areas[[42]](#footnote-43). By integrating future climate change considerations into the design of SWC and CSA measures, the proposed LDCF project will therefore deliver even greater long-term benefits to target areas.

1. Risk Management*:* As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

**Table 2: Project risks.**

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| --- |
| **Project risks** |
| **Description** | **Type** | **Impact &****Probability** | **Mitigation Measures** | **Owner** | **Status** |
| Severe drought, flooding or other extreme weather events  | Environmental | Projected increases in temperatures and frequency of droughts may negatively impact agricultural productivity and natural resource availability. Intense and erratic rainfall in certain areas will cause localised flooding and damage to infrastructure. This will result in an increase in food insecurity. P=5I=4 | Updated and improved site-specific climate information, forecasting and projections will be developed. Institutional capacity development and training programmes will take place focusing on changing behaviour and increasing preparedness to climate change amongst Woreda government staff, including extension agents. Downscaled and site-specific agrometeorological information and advice will be provided to local communities and farmers to prepare appropriately for extreme weather events. Furthermore, the project will adopt an ongoing learning-by-doing approach that will allow for iterative and adaptive management to prepare for dealing with extreme weather events. Lessons learned will be captured and disseminated through cross-regional knowledge-sharing forums to encourage sustainability and to reduce risks through similar interventions elsewhere in the Ethiopian highlands.Climate-smart SWC and CSA techniques will be implemented to reduce risks of extreme weather to livelihoods and ecosystems. | MEFCC  | Increasing |
| Continued decline of groundwater levels, leading to potential scarcity and competition. This could lead to possible conflict. | Environmental | The decrease in groundwater availability may negatively impact domestic, agricultural and livestock sectors. Consequently, agricultural productivity may decline, livelihoods could be negatively impacted and food security may decrease.P=4I=4 | A number of project activities – including climate-smart watershed restoration, CSA, and SWC measures – have been identified and designed to decrease the erosive power of water runoff and increase rainwater infiltration. This will recharge and maintain groundwater levels. The implementation of these project activities will therefore mitigate against this risk and reduce the probability of conflict over water resources. | MEFCC  | Increasing |
| Institutional capacity and relationships between government departments are not sufficient to provide effective solutions to climate problems that are complex and multi-sectoral. | Organizational | Planned project interventions may not be implemented effectively. Climate change may not be mainstreamed into sectoral policies, planning, and budgeting processes. P=2I=3 | Capacity needs assessments will be undertaken to determine i) the existing linkages between government departments; and ii) the involvement of project stakeholders in decision making. The results will inform capacity development programmes. Institutional and technical capacity will be developed to support inter-departmental coordination, planning and implementation of CCA projects in Ethiopia.  | MEFCC  | No change |
| Delays in project implementation, particularly in the development of hard infrastructure. | Operational | Delays in project implementation may result in hard infrastructure not being properly implemented. P=2I=3 | Any delays in implementation will be identified on a monthly basis. The root causes of delays will be addressed through consultative meetings between the relevant participating stakeholders, WSC and Project Manager. Contentious issues will be resolved, lessons learned documented and disseminated to other Woredas so as to avoid occurrence of similar problems. | MEFCC  | N/A |
| Price escalation and unavailability of commodities and materials. | Financial | Climate change interventions, particularly hard infrastructure interventions (such as check dams) may not be implemented.P=3I=3 | Escalating prices are beyond the control of the project. To mitigate against this risk, the project budget for infrastructural components has been developed to compensate for expected inflation. Moreover, voluntary labour contributions provided by local communities towards building SWC measures will guarantee that sufficient resources will be available to the project. Where possible, locally available resources will be used for the construction of hard infrastructure and for the sourcing of agricultural or livestock inputs. This approach will keep costs to a minimum. | MEFCC  | Increasing |
| Potential for land selected as project sites to be reassigned for alternate use by government. | Regulatory | Assignment of project sites (specifically exclosure sites) to other users or for other uses will potentially compromise the implementation of the CCA interventions in the targeted project areas.P=2I=3 | A Memorandum of Understanding on uninterrupted access to the selected project sites will be concluded between Woreda-level administrators and the PMU of the project prior to the implementation phase.  | MEFCC  | Increasing |
| Potential disruptions in communication systems | Operational | Disruptions in internet connectivity will potentially affect the management and implementation of the project.P=3I=2 | WSCs and the PMU will be in regular telephonic contact to ensure that communication over project management and implementation is clear. This will ensure that disruptions are overcome and implementation can continue. | PMU at national- and Woreda- level | Reducing |

1. Social and environmental safeguards*:* The UNDP environmental and social safeguards requirements have been followed in the development of this LDCF project. In accordance with the UNDP Social and Environmental Screening Procedure, the project is categorized as low risk and – as outlined below – is not expected to have any negative environmental or social impacts. Please see Annex F for more details.

The project will strengthen the climate information and monitoring system through: i) investments in the hydro-meteorological monitoring network; and ii) capacity-building for early warning systems. In addition, the project will enhance institutional capacity and improve coordination for CCA at an inter-ministerial and institutional level. This will occur through the establishment of a knowledge-sharing forum, which will strengthen adaptation planning by increasing access to information, technical support and knowledge.

At the local level, the project will increase the resilience of communities living within the eight target Woredas in the Ethiopian highlands by implementing a participatory approach to CCA at the watershed level. On-the-ground interventions will be complemented by building the capacity of local communities to design and implement CSA and livestock practices as well as integrated watershed and landscape management measures. In addition to strengthening the capacity of local communities to adapt to climate change, the interventions will increase household income through the promotion of alternative income-generating activities and the diversification of livelihoods. The members of targeted vulnerable communities will benefit equally from these interventions. As a result, no conflicts within the communities are anticipated as a result of the project interventions.

The restoration of watersheds will protect natural resources and livelihoods from the effects of climate change. Consequently, only positive effects on land, forestry and water resources are expected from the restoration activities. Ecosystem functioning, for example, will be promoted by the activities as they focus on soil stabilisation, improve water infiltration and restore natural vegetation. Furthermore, revegetated land will be less vulnerable to soil erosion and degradation by intense rains and floods.

Although the project will benefit local communities, it is not expected that this will lead to localised population increases. Rather, it is expected that the CCA interventions will benefit local communities adjacent to and surrounding the pilot sites. Through the public awareness campaigns and the adoption of experiential learning methods – including farmer-farmer exchanges – it is anticipated that the CSA technologies and methods will be replicated elsewhere in other Woredas and regions within Ethiopia. Consequently, no population displacement is expected as a direct or indirect result of the project.

Environmental and social grievances will be reported to the GEF in the annual PIR.

The table below presents a summary of the identified risks, their probability and impact, as well as their significance, as indicated in the UNDP Social and Environmental Screening Procedure. The full SESP is annexed to the PRODOC (Annex F).

Table 3: SESP risks table

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design.***  |
| Risk 1: Duty-bearers do not have the capacity to meet their obligations in the Project | I = 3P = 2 | **Moderate** | The proposed project is essentially a country-driven initiative. Therefore, Ethiopian stakeholders will be the ultimate duty-bearers.  | The roles and responsibilities of each participating duty-bearer have been identified and clarified. The project will seek to fill the capacity gaps and resource needs – already identified at PPG stage – through ongoing capacity development programmes. Throughout project implementation, duty-bearers will be in regular communication with the PMU to ensure that tasks are understood and conducted effectively. Further capacity gaps will be identified and addressed through adaptive management by proposing cost effective strategies and approaches to addressing these needs during project implementation.  |
| Risk 2: Rights-holders do not have the capacity to claim their rights. | I = 4P = 2 | **Moderate** | The project sites include areas in which poverty and employment are high and literacy rates are low. Therefore, the ability of individuals and groups to influence decision making is reduced. | The project will establish new and support existing community-based organisations (CBOs) that will receive training on participatory approaches to watershed management and landscape planning, as well as on climate change adaptation techniques. These activities will empower local communities to claim their rights to land and natural resources. The project will be characterised by direct participation of a variety of stakeholders at community, local government and national government levels. |
| Risk 3: Proposed project will involve harvesting of natural forests, plantation development, or reforestation. | I = 1P = 5 | **Low** | Conservation agriculture and agroforestry techniques will be implemented during the project. Focus will be placed on utilising indigenous species, discouraging the use of exotic species.The proposed project will promote the regeneration of degraded land through reforestation and the use of SWC measures. | Indigenous, multi-use plant/tree species will be selected for planting around homesteads for wood production and agricultural practices. The use of exotic species will be discouraged. Training of local communities will include education on the benefits of using indigenous, multi-use plant species rather than exotics in watershed restoration programmes. |
| Risk 4: The proposed project involves significant extraction, diversion or containment of surface or ground water. | I = 3P = 4 | **Moderate**  | The project will construct up to 40 check dams to slow water flow and to increase groundwater recharge. Additionally, the project will construct up to 8 reservoirs to store water extracted using PV-pumps. This water would be used to run small-scale irrigation in CSA fields. | Geo-hydrological assessments and an EIA will be carried out to determine the ideal location for check dams, reservoirs and PV-pumps. In addition, communities will be consulted in the broader site selection process.  |
| Risk 5: Outcomes of the proposed project will be sensitive or vulnerable to potential impacts of climate change. | I = 1P = 5 | **Low**  | The project is targeting degraded watersheds and agri-productive lands to increase local communities’ resilience to climate change.  | Current and future climatic variability will be taken into account in the restoration processes. Furthermore, resilient species – particularly in the seedling and sapling stages – will be selected for agro-forestry and CSA techniques. This will promote maximum survival of species and greater vegetative coverage of soil surfaces compared with the use of climate-sensitive species.“No-regret” physical SWC measures will be implemented that enable communities to thrive during harsh climatic periods as well as during optimal years. |
| Risk 6: Proposed project will potentially affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources | I = 3 P =3 | **Moderate** | Existing land exclosure sites will be targeted for watershed restoration during project implementation. Upscaling exclosure sites over larger areas could influence land use opportunities. | The project will ensure that local communities – including women and landless youths – are involved in the assessments, negotiations and dialogue regarding land classification, use and planning. Vulnerable groups will be empowered to influence allocation decisions and will receive benefits from the restoration and provision of income-generating activities on communal lands.  |

1. Sustainability and Scaling Up: Sustainability and scaling-up considerations are an integral part of the design of the proposed LDCF project. Measures have been taken to ensure that project activities continue beyond the duration of project implementation, with long-term benefits to all stakeholders, including the GoE and local communities. Further details are described below.

**Collaborating with communities to ensure that their needs with regards to climate change are met.** To effectively restore watersheds and create additional livelihood opportunities across the Ethiopian highlands, project beneficiaries need to be consulted and involved in all aspects of project planning and implementation. Such an approach has shown to improve the sustainability of previous projects in Ethiopia[[43]](#footnote-44). The design process of this project has involved consultations with stakeholders at various levels, including: i) national-level; ii) Woreda-level; iii) community-level; and iv) individual-level. Stakeholders from various entities including government, NGOs, CBOs and vulnerable groups (women and youths) have been consulted throughout the PPG phase. During these consultations, stakeholders were asked to identify the major impacts of climate change, and the activities they viewed as necessary to overcome these climate-induced problems. (See Annex VI: Stakeholder questionnaire responses; and Annex V: National Consultant’s summary of consultations with women and youths). The needs and recommendations of stakeholders have consequently been integrated into the project design, thereby ensuring that these needs are met.

**Intensive training on CCA at various levels.** The long-term success of watershed restoration projects in Ethiopia has been underpinned by the technical, institutional and management capacity of the project stakeholders responsible for implementation[[44]](#footnote-45). In light of this, the proposed LDCF project will focus on building capacity, increasing awareness and improving understanding of climate change risks and opportunities amongst government staff and local communities at both national and Woreda-level. Through seminars, government officials in MEFCC, MoANR, MoWIE, MoLF, MoFEC and NMA will be exposed to CCA concepts. Policy and budgetary amendments that integrate future climate change considerations will be recommended at these seminars, thereby promoting the integration of CCA into long-term development and planning. At a Woreda-level, a “training the trainers” approach will be adopted so as to continue training of local communities beyond the project lifespan. By transferring expertise to local-level trainers – including extension agents – the capacity of local communities to implement CCA measures in farming and development practices will continue to be built through the trained agents. This knowledge transfer will also provide local communities with the necessary technical expertise to upscale adaptation interventions into other areas.

**Establishing a cross-regional knowledge-sharing forum to create long-term collaborations.** A cross-regional and multi-level[[45]](#footnote-46) knowledge-sharing forum will be established in this LDCF project. The forum will bring together stakeholders – from different geographical locations – with different levels of experience and knowledge. It will allow for knowledge and experience sharing on project activities, enabling best practices to be shared and disseminated across project regions. By bringing together various stakeholders and providing a platform to discuss their needs and problems faced, the forum will facilitate the generation of site-specific solutions. In this way, management and implementation obstacles can be avoided in the most cost-effective manner, while enhancing the ability of project beneficiaries in each Woreda to meet their development targets. This forum will also enhance long-term collaboration between stakeholders and institutions, which will provide continued benefits through knowledge-sharing and partnering on aligned future projects.

**Providing guidance on developing early warnings and agrometeorological advice in response to climate change and extreme weather events.** Through Component 2 of the proposed LDCF project, the frequency and accuracy of local-level weather forecasts and climate information will be improved. Training programmes will equip extension agents to provide local communities with downscaled agrometeorological information that offers guidance and advice on response strategies to expected extreme weather events. The provision of such capacity to the targeted Woredas will allow local communities to prepare for climate change threats long after the project has ended.

**Site visits to model farms showcasing CSA practices and SWC measures.** In the MERET programme, visits to demonstration sites of successful restoration activities and CSA practices resulted in rapid upscaling of activities by farmers, including those not directly involved in the programme[[46]](#footnote-47). The proposed LDCF project will facilitate farmer to farmer knowledge exchange through the abovementioned forum. Periodic site visits for extension agents to successful sites from other projects will also be arranged. These measures will promote the upscaling of project activities across wider areas and amongst a larger number of people thereby increasing the sustainability of project interventions.

**Training communities on the development of business plans to ensure additional income-generating activities are implemented on a long-term basis.** Studies have shown that local communities’ access to private sector finance – such as through MFIs – influences their ability to diversify livelihoods and therefore increase household income[[47]](#footnote-48). Training on the development of bankable business plans through Output 3.4 will empower community groups to leverage private sector finance. In so doing, local communities – including vulnerable groups such as women and the youth – will be able to invest in income-generating activities additional to those created through the proposed LDCF project. This will enable local communities to generate additional income beyond the scope of the project, further increasing their resilience to future climate change.

**Planting multi-use species that yield ecosystem goods and services.**  Within exclosure sites and in woodlots around houses, indigenous multi-use tree species will be planted for commercial and domestic purposes that provide resources for decades. The value of this new, productive landscape will incentivise protection of trees by the community. Exclosure sites in Ethiopia have traditionally been associated with improved fodder availability and improved downstream agricultural yields[[48]](#footnote-49). Notwithstanding these benefits, the planting of climate-resilient species will have additional benefits including: i) stabilising soil to prevent soil erosion; ii) increasing infiltration, thereby raising groundwater levels; iii) mitigating against the intensity of water runoff and flood impacts; and iv) sequestering carbon in the soil.

**Establishing community by-laws and community watershed teams to manage exclosures.** In the MERET programme, community watershed teams (CWTs) were responsible for establishing and implementing internal community by-laws on exclosure usage. Guards were put in place to monitor exclosure site users and to apprehend offenders. The proposed LDCF project will create similar CWTs in the form of CBOs, with focus on ensuring that women, youths, and landless members of the community have access to exclosure sites. These systems will remain in place after the project has ended to ensure sustainable management of exclosure sites into the future.

1. Economic and/or financial analysis: N/A

# Project Results Framework

|  |
| --- |
| **This project will contribute to the following Sustainable Development Goal (s):** SDG 8 – Promote sustained inclusive and sustainable economic growth, full and productive employment and decent work for all; SDG 12 – Achieve food security and improved nutrition and promote sustainable agriculture; SDG 13 – Take urgent action to combat climate change and its impacts; and SDG 15 – protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss. |
| **This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:** UNDAF Outcome: By 2020, key government institutions at national level and in all regions and cities are able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable natural resource management. |
| **This project will be linked to the following output of the UNDP Strategic Plan:** Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.  |
|  | **Objective and Outcome Indicators** | **Baseline**  | **Mid-term Target** | **End of Project Target** | **Assumptions** |
| **Project Objective:** The objective of the proposed LDCF project is to mainstream climate risk considerations into federal, regional and Woreda-level planning processes so that local communities across the Ethiopian highlands are more resilient to climate change.  |  |  |  |  |  |
| Indicator 1: Number of direct project beneficiaries – disaggregated by gender. | 0  | 20,000, of which at least 50% are female. | 55,000, of which at least 50% are female. | All households in the target area are committed to participating in the project activities and taking-up/adopting climate resilient technologies and practices.Extension agents, NGOs, CBOs and local communities will be willing to adopt a participatory approach and work collaboratively to develop and implement additional income-generating activities in each of the 8 target Woredas. |
| **Component 1****Outcome 1: Capacities enhanced for climate-resilient planning among communities, Woreda, regional and federal governments.** | Indicator 2: Number of annual /bi-annual cross-regional knowledge-sharing forums held. | 0 | At least 1 regional knowledge-sharing forum held per year | At least 2 regional knowledge-sharing forums held per year | The Woreda Steering Committees will be in regular communication to organize a date and location for a knowledge-sharing forum well in advance. Budgeted funds are used as planned to facilitate logistics associated with annual forums. |
| Indicator 3: Number of climate adaptation extension products and services available to the communities of the target Woredas. | 0(To be verified during Year 1 of project implementation) | (To be verified during Year 1 of project implementation) | (To be verified during Year 1 of project implementation) | The Ministry of Agriculture and natural Resources and Ministry of Environment, Forest and Climate Change are committed to improving the quality of extension and advisory services. Farmers have expressed concern at the lack of up-to-date information, skills and technologies to tackle the challenges presented by climate change and variability. Both government and farmers are therefore willing and committed to finding sustainable and climate resilient solutions.  |
| Indicator 4: Number of farming communities covered by climate‑smart and knowledge‑based extension services. | 0(To be verified during Year 1 of project implementation) | 24 communities (3 per Woreda)(To be verified during Year 1 of project implementation) | 40 communities (5 per Woreda)(To be verified during Year 1 of project implementation) | Both the MoANR and MoEFCC are committed to increasing the availability of extension and advisory services to farmers. Farmers have expressed concern at the lack of up-to-date information, skills and technologies to tackle the challenges presented by climate change and variability. Both government and farmers are therefore willing and committed to finding sustainable and climate resilient solutions.  |
| Indicator 5: Percentage of targeted population awareness of projected impacts of climate change and appropriate responses (score) – disaggregated by gender.1 = No awareness level (less than 50% correct)2 = Moderate awareness level (50–75% correct)3 = High awareness level (over 75% correct) | Baseline level of awareness in target population estimated at 1(To be verified during Year 1 of project implementation) | Increased level of awareness in target population (1) | Increased level of awareness in target population from 1 (No awareness level) to 2 (Moderate awareness level) | Involvement in the design and implementation of project interventions and ongoing communication on the expected benefits of CSA, SWC measures and additional livelihood options for local communities will result in long-term support of the project and adoption of new knowledge, skills and practices in food production and water management systems. |
| **Component 2****Outcome 2: Use of climate information for climate risk management strengthened – with a focus including for women and youths.** | Indicator 6: Number of people with access to improved climate information services. (AMAT Indicator 7) ­– disaggregated by gender. | 0 | 16,500, of which at least 50% are female. | 40,000, of which at least 50% are female. | Regional NMA office staff and extension agents will be willing to attend training workshops and work towards furthering the existing climate and weather information systems present. |
| Indicator 7: Operational AWS in each of the 8 target Woredas.  | Currently 4 AWS are installed, one in each of the following Woredas: i) Hawassa; ii) Arba Minch; iii) Atsbi Wenberta and iv) Tahtay Koraro | 6 operational AWS present. | 8 operational AWS present (one in each of the 8 Woredas) | The NMA is committed to procuring and installing AWS in each target Woreda. The NMA staff will be responsible for the long-term upkeep and maintenance of equipment installed. |
| **Component 3****Outcome 3: Adapted and diversified income and employment opportunities generated for local communities, with a focus on climate-smart agriculture and integrated watershed management.** | Indicator 8: Number of integrated watershed management and landscape management plans developed and operationalized. | Integrated watershed management and landscape management plans have not been developed | At least 4 integrated watershed management and landscape management plans developed and operationalized in target areas.These will include:**Reforestation targets*** 32 ha of nursery sites established
* 2000 ha reforested using indigenous, multi-use plant species to make up 90% of the reforested area

**Physical interventions*** 25% of total required physical interventions implemented

**Agricultural interventions*** 25% of total required agricultural interventions implemented
 | At least 8 integrated watershed management and landscape management plans developed and operationalized in target areas.These will include:**Reforestation targets*** 32 ha of nursery sites established
* 8000 ha reforested using indigenous, multi-use plant species to make up 90% of the reforested area

**Physical interventions*** 400 km terraces
* 400 km trenches
* 1600 eyebrow basins
* 2000 percolation pits
* 40 check dams
* 200 gabion wall dams
* Two reservoirs per Woreda
* Two PV-pumps per Woreda

**Agricultural interventions*** 6000 m2 of processing facilities
* 800 bee-keeping packages
* 6000 m2 of animal shelters
 | Extension agents, NGOs and local communities will be willing to adopt a participatory approach and work collaboratively to develop and implement integrated watershed management and landscape management plans in each of the 8 target Woredas. |
| Indicator 9: Number of business plans developed to promote upscaling of project interventions. | No business plans developed. | At least 4 business plans developed. | At least 8 business plans developed (one in each Woreda). | NGOs, extension agents, CBOs and local communities will work collaboratively to produce inclusive business plans that promote upscaling of watershed restoration and development of more income-generating activities. |

# Monitoring and Evaluation (M&E) Plan

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](http://www.undp.org/content/undp/en/home/operations/accountability/programme_and_operationspoliciesandprocedures.html) and [UNDP Evaluation Policy](http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation_policyofundp.html). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](http://www.thegef.org/gef/Evaluation%20Policy%202010) and other relevant GEF policies[[49]](#footnote-50).

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies[[50]](#footnote-51).

**M&E Oversight and monitoring responsibilities:**

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Steering Committee, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy and KM strategy) occur on a regular basis.

Project Steering Committee: The Project Steering Committee will take corrective action as needed to ensure the project achieves the desired results. The Project Steering Committee will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project’s final year, the Project Steering Committee will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Steering Committee within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](http://www.undp.org/content/undp/en/home/operations/accountability/programme_and_operationspoliciesandprocedures.html). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

**Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects[[51]](#footnote-52).

**Additional GEF monitoring and reporting requirements:**

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;

b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;

c) Review the results framework and finalize the indicators, means of verification and monitoring plan;

d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;

e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;

f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and

g) Plan and schedule Project Steering Committee meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Steering Committee.

GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

The PIR submitted to the GEF will be shared with the Project Steering Committee. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year’s PIR will be used to inform the preparation of the subsequent PIR.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing knowledge sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results:

The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) – submitted as Annex D to this project document – will be updated by the Project Manager/Team (not the evaluation consultants hired to undertake the MTRor the TE) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project’s duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Centre](http://web.undp.org/evaluation/guidance.shtml#gef) (ERC). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Steering Committee.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Centre](http://web.undp.org/evaluation/guidance.shtml#gef). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Steering Committee. The TE report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

Final Report: The project’s terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Steering Committee during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Table 4: Mandatory GEF M&E Requirements and M&E Budget**

| **GEF M&E requirements** | **Primary responsibility** | **Indicative costs to be charged to the Project Budget[[52]](#footnote-53) (US$)** | **Time frame** |
| --- | --- | --- | --- |
| **GEF grant** | **Co-financing** |
| **Inception Workshop**  | UNDP Country Office  | USD 11,000 | None | Within two months of project document signature  |
| **Inception Report** | Project Manager | None | None | Within two weeks of inception workshop |
| **Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP** | UNDP Country Office | None | None | Quarterly, annually |
| **Monitoring of indicators in project results framework** | M&E specialist | Per year: USD 4,000 | None | Annually  |
| **Monitoring of indicators in project results framework** | Woreda Project Officers | USD 72,000 (50% of time spent on monitoring activities) | None | Annually |
| **GEF Project Implementation Report (PIR)**  | Project Manager and UNDP Country Office and UNDP-GEF team | None | None | Annually  |
| **NIM Audit as per UNDP audit policies** | UNDP Country Office | Per year: USD 3,000 | None | Annually or other frequency as per UNDP Audit policies |
| **Lessons learned and knowledge generation** | Project Manager |  | None | Annually |
| **Monitoring of environmental and social risks, and corresponding management plans as relevant** | Project ManagerUNDP CO | None | None | On-going |
| **Addressing environmental and social grievances** | Project ManagerUNDP Country OfficeBPPS as needed | None for time of project manager, and UNDP CO | None | *Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.* |
| **Project Steering Committee meetings** | Project Steering CommitteeUNDP Country OfficeProject Manager | None | None | At minimum annually |
| **Supervision missions** | UNDP Country Office | None**[[53]](#footnote-54)** | None | Annually |
| **Oversight missions** | UNDP-GEF team | None54 | None | Troubleshooting as needed |
| **GEF Secretariat learning missions/site visits**  | UNDP Country Office and Project Manager and UNDP-GEF team | None | None | To be determined. |
| ***Mid-term GEF Tracking Tool to be updated by UNDP*** | *Project Manager* | USD 10,000 | None | *Before mid-term review mission takes place.* |
| ***Independent Mid-term Review (MTR) and management response***  | *UNDP Country Office and Project team and UNDP-GEF team* | USD 40,000 | None | *Between 2nd and 3rd PIR.*  |
| **Terminal GEF Tracking Tool to be updated by *UNDP*** | Project Manager  | USD 10,000 | None | Before terminal evaluation mission takes place |
| **Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response** | UNDP Country Office and Project team and UNDP-GEF team | USD 40,000 | None | At least three months before operational closure |
| **TOTAL indicative COST** Excluding project team staff time, and UNDP staff and travel expenses  | USD 218,000 | None |  |

# Governance and Management Arrangements

Roles and responsibilities of the project’s governance mechanism: The project will be implemented following UNDP’s national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the GoE*,* and the Country Programme*.*

The **Implementing Partner** for this project is the MEFCC*.* The Implementing Partner will be responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The **National Steering Committee** (NSC) will be responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP’s ultimate accountability, NSC decisions will be made in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, the final decision will rest with the UNDP Programme Manager. The NSC will be comprised of individuals representing the following institutions: MEFCC (Chair); UNDP (Co-chair); MoANR; MoWIE; Minstry of Livestock and Fisheries (MoLF); MoFEC; NMA; and regional and zonal MEFCCC replica of four regional representatives (one from each region). Meetings of the NSC will be held on a bi-annual basis. Additional meetings can be scheduled as needed. The terms of reference for the NSC are contained in Annex E*.*

**Woreda Steering Committee** (WSC): The proposed LDCF project will use a similar approach to that of the MERET programme[[54]](#footnote-55) by establishing a WSC in each Woreda. The WSCs will regularly consult with relevant CBOs, farmer, women and youth groups, as well as landless women and youth to ensure that project interventions are benefitting all stakeholders.

Each of the eight Woredas will have a WSC comprising: i) the Woreda Administrator (Chair of the WSC); ii) an MEFCC representative (Secretary to WSC); iii) a Woreda Project Officer (WPO); iv) a local university representative; v) cooperative office; vi) local CBO representatives (including women and youth groups); vii) an NGO representative; vii) a representative for MFIs; and viii) a sectoral representative from both from the Woreda and Kebele levels from the following government departments:

* Ministry of Environment, Forest, Climate Change;
* Land Use Administration;
* Crop Production;
* Animal Production; and
* Cooperative offices.

The WSCs will meet at least three times a year. Tasks of the WSC include the following:

* creating an environment conducive for farmers, women, unemployed youth and other vulnerable groups to set and achieve targets;
* ensuring effectiveness of project activities in converting the project sites into a climate resilient landscape;
* providing needs-driven capacity development support for women, unemployed youth and other vulnerable groups in reaching development targets;
* assisting in the formulation of bankable climate resilient investment plans by farmers, women and unemployed youth for the upscaling of project interventions;
* executing specific strategic actions such as organising competitions regarding CCA Growth Project activities among high school or undergraduate students; awarding farmers for outstanding performance; or awarding politicians for their pro-CCA Growth political work; and
* facilitating the sharing of achievements, lessons and experiences amongst stakeholders.

The **Project Management Unit** (PMU) will be responsible for running the project on a day-to-day basis on behalf of the Implementing Partner and within the constraints laid down by the NSC. The PMU will be hosted within the MEFCC. The additional members of the PMU will provide project administration, management and technical support to the PM as required by the needs of the individual project or PC.The PM’s function will end when the final project terminal evaluation report and corresponding management response, and other documentation required by the GEF and UNDP, have been completed and submitted to UNDP (including operational closure of the project). The PMU will work closely with the NSC as well as the WSCs throughout the implementation of the project. Specific tasks of the PMU will include the following:

* ensure CCA Growth Project activities are implemented according to the set objectives;
* facilitate communication and meetings of the NSC in order to review activities achieved, and discuss activities planned for approval and implementation;
* ensure WSCs report periodically and on schedule regarding progress/performance/budget execution against the M&E framework and budget of the project;
* support Woreda Project Officers (WPOs) to collaborate with active like-minded organisations to improve and upscale project activities among farmers, women, unemployed youth and other vulnerable groups in their respective Woredas;
* hold regular meetings and other *ad hoc* meetings with the WPOs in order to discuss plans and progress, and to follow‐up any concerns the WPOs or the beneficiary groups may have; and
* coordinate and liaise with other donor and government project managers to ensure that synergies are built and that there is no overlap of tasks.

The **Project Manager** (PM) will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The PM function will end when the final project terminal evaluation report, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project)[[55]](#footnote-56).

A **Woreda Project Officer** (WPO) will be selected for each Woreda. The WPOs will be responsible for the annual management, accountability and general oversight on the planning, implementing, monitoring and reporting of the five-year project. Additionally, the WPOs will be responsible for developing a database of lessons learned corresponding to each component of the project. The database will provide useful information from which implementing groups and other stakeholders can benefit. WPOs will also manage annual plans and budgets as well as develop corresponding reports on progress that will be submitted to the NSC for review and feedback. Each region will have one WPO, each WPO will manage two project sites and have one Project Officer and Finance Officer.

The **project assurance:**  UNDP provides a three-tier oversight and quality assurance role involving UNDP Country Offices, regional and headquarters levels. At Country Office level, the project assurance roll will be provided through the Environment Programme Officer/GEF programme specialist. Additional quality assurance will also be provided by the UNDP Regional Technical Advisor as needed.

The project’s organisational structure is as follows:

**Project Management Unit**

Project Manager; Finance and Administration Officer; Monitoring and Evaluation Officer and two drivers.f

**Ministry of Environment, Forest and Climate Change (Implementing Entity)**

**National Steering Committee**

**Chair: MEFCC**

**Co-Chair-UNDP**

**Other members:**

MoANR; MoWIE; MoLF; MoFEC; NMA; Regional and zonal MEFCC replica

**Project Organization Structure**

**Yaya Gulele WSC**

Chair Person: Yaya Gulele Woreda Administrator

Yaya Gullele Land Administration and Environmental Protection Office; Yaya Gullele Woreda Women Affairs Office; Yaya Gullele Woreda Cooperatives Office; Yaya Gullele Woreda Youth League; MoANR replica at Yaya Gullele Woreda; MoLF replica at Yaya Gullele Woreda; MoWIE replica at Yaya Gullele Woreda; Woreda MEFCC Replica-Secretariat

**Dawa Chefe WSC**

Chair Person: Dawa Chefe Woreda Administrator

Dawa Chefe Woreda Environmental Protection and Land Administration and Use Office; Dawa Chefe Woreda Women Affairs Office; Dawa Chefe Woreda Cooperatives Office; Dawa Chefe Woreda Youth League; MoANR replica at Dawa Chefe Woreda; MoLF replica at Dawa Chefe Woreda; MoWIE replica at Dawa Chefe Woreda; Woreda MEFCC Replica-Secretariat

**Sebeta Awas WSC**

Chair Person: Sebeta Awas Woreda Administrator

Sebeta Awas Woreda Land Administration and Environment Protection Office; Sebeta Awas Woreda Women Affairs Office; Sebeta Awas Woreda Cooperatives Office; Sebeta Awas Woreda Youth League; MoANR replica at Sebeta Awas Woreda; MoLF replica at Sebeta Awas Woreda; MoWIE replica at Sebeta Awas Woreda; Woreda MEFCC Replica-Secretariat

**Hawassa WSC**

Chair Person: Hawas City Administrator

Hawssa City Administration Environmental Protection and Forest Development Office; Hawssa City Administration Women Affairs Office; Hawssa City Administration Cooperatives Office; Hawssa City Administration Youth League; MoANR replica at Hawssa City Administration; MoLF replica at Hawssa City Administration; MoWIE replica at Hawssa City Administration; Woreda MEFCC Replica-Secretariat

**Atsbi Wenberta WSC**

Chair Person: Atsbi Wenberta Woreda Administrator

Atsbi Wenberta Woreda Environmental Protection and Rural Land Administration and Use Office; Atsbi Wenberta Woreda Women Affairs Office; Atsbi Wenberta Woreda Cooperatives Office; Atsbi Wenberta Woreda Youth League; MoANR replica at Atsbi Wenberta Woreda; MoLF replica at Atsbi Wenberta Woreda; MoWIE replica at Atsbi Wenberta Woreda; Woreda MEFCC Replica-Secretariat

**Arba Minch WSC**

Chair Person: Gamo Gofa Zone Administrator

Gamo Gofa Zone Environmental Protection and Forest Office; Gamo Gofa Zone Women Affairs Office; Gamo Gofa Zone Cooperatives Office; Gamo Gofa Zone Youth League; MoANR replica at Gamo Gofa Zone; MoLF replica at Gamo Gofa Zone; MoWIE replica at Gamo Gofa Zone; Woreda MEFCC Replica-Secretariat

**Tahtay Koraro WSC**

Chair Person: Tahtay Koraro Woreda Administrator

Tahtay Koraro Woreda Environmental Protection and Land Administration and Use Office; Tahtay Koraro Woreda Women Affairs Office; Tahtay Koraro Woreda Cooperatives Office; Tahtay Koraro Woreda Youth League; MoANR replica at Tahtay Koraro Woreda; MoLF replica at Tahtay Koraro Woreda; MoWIE replica at Tahtay Koraro Woreda; Woreda MEFCC Replica-Secretariat

**Dessie WSC**

Chair Person: Woreda Administrator

Members: Dessie City Administration Agriculture, Environmental Protection and Land Administration Department; Dessie City Administration Women Affairs Office; Dessie City Administration Cooperatives Office; Dessie City Administration Youth League; MoANR replica at Dessie City Administration; MoLF replica at Dessie City Administration; MoWIE replica at Dessie City Administration; Woreda MEFCC Replica-Secretariat

**Project quality assurance-UNDP**

**Woreda Project Officer**

Eight Woreda project offices: one Project Officer and one Finance Officer

Governance role for project target groups: The project will focus on the development of effective and innovative community-based watershed restoration measures at the Woreda-level. Implementation of project outcomes will enable local communities to: i) increase their indigenous resource management knowledge; ii) raise their understanding of the impacts of climate change on livelihoods and natural resources; and iii) prepare integrated watershed management and landscape management plans for restoring, sustaining and enhancing the productive capacity and resilience of the project sites. To facilitate the uptake of project objectives, existing structures at the local Kebele level – including CBOs, youth, women and farmer groups – will be strengthened. These groups will also coordinate local level participation in CCA development planning. A knowledge-sharing forum will be established for discussions between stakeholders across regions to facilitate the flow of information and to exchange ideas/lessons learned.

UNDP Direct Project Services as requested by Government (if any): *list the services the UNDP Country Office will provide. The GEF Council has adopted rules and issued guidance on when and how Direct Project Costs may be recovered for projects financed by the GEF Trust Fund, and the LDCF, SCCF Funds. See opening section under further information for additional details.*

Agreement on intellectual property rights and use of logo on the project’s deliverables and disclosure of information**:** In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[[56]](#footnote-57) and the GEF policy on public involvement[[57]](#footnote-58).

Project management*:* Physical project office: The woreda MEFCC like agency will host the project and thus provide office space and access to shared services. The project will thus have a total of 8 offices.

Table 5: Location of project offices in each target Woreda

|  |  |
| --- | --- |
| **Region** | **Host**  |
| **Oromia** | Yaya Gulele Zone Land Administration and Environmental Protection Office   |
| Sebeta Awas Land Administration and Environmental Protection Office  |
| **SNNPR** | Hawssa City Administration Environmental Protection and Forest Development Office  |
| Gamo Gofa Zone Environmental Protection and Forest Office |
| **Amhara** | Dessie City Administration Agriculture, Environmental Protection and Land Administration Department |
| Rike Woreda Environmental Protection and Land Administration Office  |
| **Tigray** | Atsbi Wenberta Woreda Environmental Protection and Rural Land Administration and Use Office  |
| Tahtay Koraro Woreda Environmental Protection and Land Administration and Use Office |

# Financial Planning and Management

The total cost of the project is USD 16,727,000*.* This is financed through a LDCFgrant of USD 6,277,000, USD 200,000 in cash co-financing to be administered by UNDP and USD 10,250,000in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Co-financing source** | **Co-financing type** | **Co-financing amount** | **Planned Activities/Outputs** | **Risks** | **Risk Mitigation Measures** |
| *Government* | *Cash* | *USD 10,250,000* | *Components 1, 2 and 3.*  |  |  |
| *UNDP* | *Cash* | *USD200,00* | *Components 1,2 and 3* | *…* | *…* |

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the Project Steering Committee will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Steering Committee. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.[[58]](#footnote-59) On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Steering Committee meeting. The Implementing Partner through a Project Steering Committee decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

# Total Budget and Work Plan

|  |
| --- |
| **Total Budget and Work Plan** |
| Atlas Proposal or Award ID:  | 00099399 | Atlas Primary Output Project ID: | 00102681 |
| Atlas Proposal or Award Title: | CCA Growth: Imp. CRGE in Highland Areas |
| Atlas Business Unit | ETH 10 |
| Atlas Primary Output Project Title | CCA Growth: Implementing climate resilient and green economy plans in highland areas in Ethiopia |
| UNDP-GEF PIMS No.  | 5478 |
| Implementing Partner  | MEFCC |

| **GEF Component/ Atlas Activity**  |  **Responsible Party/ Implementing Agent**  |  **Fund ID**  |  **Donor Name**  | **Atlas Budgetary Account Code**  |  **ATLAS Budget Description**  |  **Amount Year 1 (US$)**  |  **Amount Year 2 (US$)**  |  **Amount Year 3 (US$)**  |  **Amount Year 4 (US$)**  |  **Amount Year 5 (US$)**  |  **Total (US$)**  |  **See Budget Note**  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| OUTCOME 1: Capacities enhanced for climate-resilient planning among communities, Woreda, regional and federal governments. | MEFCC | 62160 | LDCF | 71300 | Local Consultants  | 107,250 | 14,000 | 34,300 | - | 20,300 | 175,850 | 1 |
| 71400 | Contractual services - Individual | 14,400 | 14,400 | 14,400 | 14,400 | 14,400 | 72,000 | 2 |
| 71600 | Travel  | 85,750 | 6,000 | 16,400 | - | 10,400 | 118,550 | 3 |
| 72100 | Contractual services - Companies  | 4,000 | 4,000 | 29,000 | 4,000 | 4,000 | 45,000 | 4 |
| 72300 | Materials & goods  | 17,500 | - | 1,500 | - | 1,500 | 20,500 | 5 |
| 74200 | Audio visual & print production costs  | 21,600 | 11,280 | 21,600 | 2,000 | 5,600 | 62,080 | 6 |
| 75700 | Training, Workshop and Conferences  |  90,560  |  38,560  |  74,560  |  22,560  |  58,560  | 284,800  | 7 |
| 72200 | Equipment & Furniture | 12,000 | - | - | - | - | 12,000 | 8 |
| 73400 | Rental & Maintenance of Other Equip | - | 1,500 | 1,500 | 1,500 | 1,500 | 6,000 | 9 |
|   | **Total Outcome 1**  | 353,060 | 89,740 | 193,260 | 44,460 | 116,260 | 796,780 |  |
| OUTCOME 2: Use of climate information for climate risk management strengthened – with a focus including for women and youths. | MEFCC | 62160 | LDCF | 71600 | Travel  | 36,000 | 14,000 | 11,000 | - | - | 61,000 | 10 |
| 72100 | Contractual services - Companies  | 75,250 | 33,250 | 42,000 | - | - | 150,500 | 11 |
| 72300 | Materials & goods  | 156,025 | - | 40,000 | - | - | 196,025 | 12 |
| 74200 | Audio visual & print production costs  | 34,000 | 8,000 | 16,000 | - | - | 58,000 | 13 |
| 75700 | Training, Workshop and Conferences  | 76,000 | - | 76,000 | - | - | 152,000 | 14 |
| 72200 | Equipment & Furniture | 56000 | - | - | - | - | 56,000 | 15 |
| 73400 | Rental & Maintenance of Other Equip | - | 7,000 | 7,000 | 7,000 | 7,000 | 28,000 | 16 |
|  | **Total Outcome 2**  | 433,275 | 62,250 | 192,000 | 7,000 | 7,000 | 701,525 |  |
| OUTCOME 3: Adapted and diversified income and employment opportunities generated for local communities, with a focus on climate-smart agriculture and integrated watershed management. | MEFCC | 62160 |  | 71300 | Local Consultants  | 36,000 | 8,000 | 26,000 | - | 18,000 | 88,000 | 17 |
| 71400 | Contractual services - Individual  | 135,000 | 5,250 | 5,250 | - | - | 145,500 | 18 |
| 71600 | Travel  | 52,000 | 10,650 | 19,650 | - | 9,000 | 91,300 | 19 |
| 72300 | Materials & goods  | 3,975 | 2,507,020 | 832,330 | 617,210 | 960 | 3,961,495 | 20 |
| 74200 | Audio visual & print production costs  | 18,000 | 9,200 | 17,200 | - | 8,000 | 52,400 | 21 |
| 75700 | Training, Workshop and Conferences  | 48,000 | 24,000 | 40,000 | - | 16,000 | 128,000 | 22 |
| 72200 | Equipment & Furniture | 12,000 | - | - | - | - | 12,000 | 23 |
| 73400 | Rental & Maintenance of Other Equip | - | 1,500 | 1,500 | 1,500 | 1,500 | 6,000 | 24 |
|  | **Total Outcome 3**  | 304,975 | 2,565,620 | 941,930 | 618,710 | 53,460 | 4,484,695 |  |
| PROJECT MANAGEMENT UNIT | MEFCC | 62160 | LDCF | 71400 | Contractual services - Individual | 18,400 | 18,400 | 18,400 | 18,400 | 18,400 | 92,000 | 25 |
| 71200 | International Consultants |  |  | 40,000 |  | 40,000 | 80,000 | 26 |
| 71300 | Local Consultants  |  |  | 10,000 |  | 10,000 | 20,000 | 27 |
| 74100 | Professional services | 3,000 | 3,000 | 3,000 | 3,000 | 3,000 | 15,000 | 28 |
| 74500 | Miscellaneous Expenses | 14,230.88 | 13,800 | 13,800 | 13,800 | 13,800 | 69,430.88 | 29 |
| 75700 | Training, Workshops and Conferences  | 11,000 |  |  |  |  | 11,000 | 30 |
| 74596 | Direct Project Costs | 1,313.82 | 1,313.82 | 1,313.82 | 1,313.83 | 1,313.83 | 6,569.12 | 31 |
|  | PM Sub-total GEF | 47,944.70 | 36,513.82 | 86,513.82 | 36,513.83 | 86,513.83 | 294,000 |  |
| 04000 | UNDP   | 71400 | Contractual services - Individual | 24,000 | 24,000 | 24,000 | 24,000 | 24,000 | 120,000 | 32 |
| 72200 | Equipment & Furniture | 72,000 | - | - | - | - | 72,000 | 33 |
| 72500 | Office supplies | 1,600 | 1,600 | 1,600 | 1,600 | 1,600 | 8,000 | 34 |
|  | PM Sub-total UNDP | 97,600 | 25,600 | 25,600 | 25,600 | 25,600 | 200,000 |  |
|  | **Total Project Management**  | **145,545** | **62,114** | **112,114** | **62,114** | **112,114** | **494,000** |  |
|  | **Total LDCF**  | 1,139,254.7 | 2,754,123.8 | 1,413,703.8 | 706,683.8 | 263,233.8 | 6,277,000.0 |  |
|  |  |  |  |  | **PROJECT TOTAL (TRAC+LDCF)** | **1,236,854.7** | **2,779,723.8** | **1,439,303.8** | **732,283.8** | **288,833.8** | **6,477,000.0** |  |

**Summary of Funds:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|   | **Amount** | **Amount** | **Amount** | **Amount** | **Amount** | **Total** |
| **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
| **GEF**  | 1,139,254.7 | 2,754,123.8 | 1,413,703.8 | 706,683.8 | 263,233.8 | $6,277,000  |
| **UNDP** | 97,600 | 25,600 | 25,600 | 25,600 | 25,600 | $200,000  |
| **TOTAL** | $1,236,855  | $2,779,724  | $1,439,304  | $732,284  | $288,834  | $6,477,000  |

**Budget notes:**

|  |  |
| --- | --- |
| 1 | * Local Capacity Development Specialist – fees: 90 days at US$350 per day. This specialist will conduct the capacity and resource needs assessment and design a capacity development programme for national and sub-national government staff.
* Capacity Development Specialist – fees: 25 days (10 days for workshops and 15 days of travel/rest) at US$350 per day. This specialist will conduct the technical capacity development and institutional capacity development programmes at national and sub-national levels on climate change awareness and response measures.
* Extension services specialist hired for 90 days at US$200 per day. The extension services specialist will be supported by an international consultant for 50 days at US$350 per day. Extension services will be revised and new material developed. Specialist to conduct training workshops for extension officers in each Woreda at US$2,000 per workshop. Training to be conducted in years 1, 3 and 5 in each of the eight Woredas. International and national consultants will be hired for 21 days at US$350 per day and US$200 per day respectively for Years 3 and 5.
* Consultant to develop and implement public awareness campaign, including: i) utilising local media to inform communities; ii) adopting experiential learning methods; iii) organising local level awareness-raising campaigns for farmers on lessons learned and best practices; and iv) developing farmer radio shows for broadcasting. The consultant will also review and update the technical manual "Community‑based Participatory Watershed Development: A Guideline". This consultant will run training workshops in each Woreda for extension agents and local communities on implementing SWC and CSA measures. Each year, the development agents will be more actively involved and will be ultimately responsible for the training. US$350 per day for 90 days in Year 1, 40 days in Year 2 and Year 3.
 |
| 2 | * 50% of 8 x Woreda Project Officer (WPO) salaries = 50% of US$300 per WPO per month for 60 months
 |
| 3 | * Travel at US$150 per day for 90 days (including car hire and driver). One international return flight at US$2,000, should an international consultant be required.
* Travel costs per regional workshop estimated at US$30 dollars per person. 25 officials will attend from each Woreda (two Woredas in each region): US$30 X 50 people. Travel cost for consultant: 25-day contract; vehicle/driver/fuel at US$150 per day = US$150 X 25.
* Travel at US$150 per day for 90 days (including car hire and driver). US$2,000 for an international return flight, if required.
* Vehicle/car hire at US$150 per day for 170 days in total. Transport costs of getting people to field sites within a Woreda and to other Woredas - US$30 per person.
 |
| 4 | * Annual monitoring of indicators in project results framework at US$4,000 per year. Independent Mid-term Review (MTR) and management response at US$25,000 in Year 3.
 |
| 5 | * Materials and goods – training material for workshops including: i) stationery and Audio Visual-equipment (US$1,500); and ii) updated laptop computers and software (US$1,000 each) including one per each of the eight Woredas, one at regional level for each one of the four regions and four at national level – therefore, total number of laptops = 16.
 |
| 6 | * Printing and dissemination of updated pamphlets, leaflets and other knowledge products at US$450 per Woreda for each of the eight Woredas.
* Leaflets to be developed for each of the regional workshops. US$500 is allocated for each region per year (US$500 X 4 regional workshops = US$2,000).
* Cost of printing and disseminating technical manuals and training guidelines.
 |
| 7 | * One national conference will be held for national government staff. This will take place over two days. A conference will be held per region for Woreda staff. The four regional conferences should be two days each. For the regional workshops, the travel expenses of all attendees will need to be covered. Travel costs are estimated at US$30 per person in travel costs, for 50 people (25 from each Woreda). US$1,500 is budgeted per workshop for travel arrangements.
* Training, workshops and conferences: one per Woreda at US$2,000 per workshop.
* Two knowledge‑sharing workshops to be held per year. The workshops will be attended by the steering committees from each of the eight Woredas. In addition, three extension officers from each Woreda will attend the workshops. The DSA for each extension officer will be US$20 per day (US$20 X 24 extension officers X 2 days = US$960 annually).
* The Woreda-level workshops (farmer demonstration days) will be attended by the relevant steering committee, CBOs, farmers groups, women groups, youth groups and extension officers. The workshops will be one day. It is estimated that the workshops will be attended by 100–150 attendees per workshop. US$4,000 per workshop – to include food, Audio Visual-material, printing costs, facilitator cost, hiring of marquee/venue etc.
* Training workshops on SWC measures (associated with Output 3.2) for ~150 people in each Woreda. Most training will take place in a central venue, while other training will take place in the field at demonstration sites. Demonstration sites will be constructed toward the end of Year 1 and will be used for training purposes from year two onwards.
 |
| 8 | * 15% share of two vehicles to be purchased (shared between the four regions). US$30,000 per vehicle x 15% = US$9,000.
* 15% share of eight motorbikes to be purchased (one per Woreda). Cost = US$2,500 per motorbike x 15% = US$3,000.
 |
| 9 | * 15% share of maintenance costs @ US$10,000 per year for Years 2-5 x 15% = US$1,500 per year.
 |
| 10 | * Vehicle/car hire at US$150 per day for 60 days (including car hire and driver). US$2,000 for a return flight, if required.
* Travel at US$150 per day for 80 days (including car hire and driver). US$2,000 for international flight, if required.
 |
| 11 | * Meteorology specialist – fees: 60 days at US$350 per day – services to consult with each of the eight Woredas and to analyse the accuracy of climate information being generated for each of the eight Woredas. This specialist will: i) undertake an equipment needs assessment of the existing weather stations in Tahtay Koraro, Hawassa, Arba Minch and Atsbi; ii) propose the list of equipment to be purchased; iii) identify potential suppliers; and iv) develop a long-term maintenance plan for the existing and new equipment.
* EWS co-ordinator – fees: US$350 per day for 80 days. This specialist will be hired to initiate the community-based planning exercise and to design the EWS, which will entail synthesising: community observations, traditional knowledge and scientific knowledge at each of the eight Woredas.
* National gender specialist will be hired to advise on mainstreaming gender considerations into early warning communication strategies. 21 days at US$250 per day.
* Service provider to conduct capacity development of extension agents and local communities at US$350 per day for 60 days.
 |
| 12 | * Purchase and installation of: i) four AWS at US$30,000 each (including import taxes); ii) equipment for upgrading existing weather stations; and iii) plastic rain gauges for each Woreda.
 |
| 13 | * Printing and dissemination of reports on findings of assessment and other educational and informative material.
* Development and dissemination of training material and maintenance manuals for each of the eight Woredas (US$2,000).
* Training material at US$2,000 per Woreda (US$16,000 total).
 |
| 14 | * One workshop in each Woreda to train extension officers and development agents on tailoring climate information at US$2,000 per workshop. ~20 people to attend each workshop.
* One workshop in each Woreda to train extension officers and development agents on the effective dissemination of climate information, advice and warnings. The same workshop will be used to train local community groups (women, youth and farmer groups) on understanding climate information and responding to early warnings. Relationships will be developed between stakeholders in the shared event. US$50 per person with ~150 expected to attend in each of the 8 Woredas.
 |
| 15 | * 70% share of two vehicles to be purchased (shared between the four regions). US$30,000 per vehicle x 70% = US$42,000
* 70% share of eight motorbikes to be purchased (one per Woreda). Cost = US$2,500 per motorbike x 70% = US$14,000
 |
| 16 | * 70% share of maintenance costs @ US$10,000 per year for Years 2-5 x 15% = US$7,000 per year
 |
| 17 | * Local consultant to: i) conduct analysis on market opportunities; ii) provide technical support for the identification and implementation of selected income-generating activities; and iii) provide training of local communities on value-addition activities, including agro-processing and marketing skills. Fees: 90 days at US$200 per day. During Year 2 and year 3, the consultant will undertake follow-up training of extension agents and review the progress in each Woreda. Fees: 50 days at US$200 per day.
* Local consultant to: i) develop a long-term M&E strategy for each Woreda; ii) review successes and failures from the LDCF and other projects to suggest upscaling activities; and iii) develop training material and provide training workshops on developing bankable business plans. Travel to each of the eight Woredas to gather information to be undertaken during Years 1,3 and 5. Fee for consultant: US$300 per day for 60 days.
 |
| 18 | * Groundwater assessment specialist will be hired to assess field sites and develop a groundwater monitoring strategy. Fees: US$ 450 per day for 150 days. A civil engineer/ landscape rehabilitation specialist will be hired to work with the groundwater assessment specialist to develop CCA intervention plans. These plans will outline the exact dimensions and positioning of soil and water conservation measures; position of well sites; and specific plant species to be used in strengthening physical structures. Fees: US$ 450 per day for 150 days, for each specialist. Local consultant to conduct workshops in Years 2 and 3 at US$250 per day for 21 days.
 |
| 19 | * Vehicle/car hire at US$150 for 150 days (including car hire and driver) in Year 1 and 21 days in Years 2 and 3 respectively. Two international flights at US$2,000 if necessary. Transport for local stakeholders to regional workshops is estimated at US$3,000.
* Vehicle/car hire at US$150 per day for 190 days (including car hire and driver).
* Vehicle/car hire at US$150 per day for 60 days (including car and driver).
 |
| 20 | * Purchase and plant the following:
* 800,000 drought-resistant seeds/seedlings for climate-smart agriculture – e.g. teff, maize, sorghum;
* 600,000 seedlings/saplings of multi-purpose indigenous plants for nurseries; and
* 400,000 seedlings of fast-growing tree species for homestead woodlots.
* Cost of above planting material at US$400 per hectare (total US$12,800).
* Purchase material to construct 32 ha of nursery sites at US$ 10 per hectare.
* Labour cost for planting trees = US$5 per person day. 1000 person days per Woreda.
* Cost of labour to construct and maintain SWC structures and to maintain reforested areas = US$30 per hectare per year (total = 8000ha).
* Purchase of 500 Tree-T-Pee© units in a Woreda (to be selected during implementation) at US$7.95 per unit (total = US$3,975).
* Installation of the Tree-T-Pee© with drip-fed irrigation to test feasibility of upscaling to all nurseries.
* Purchase cement, gabion baskets and other materials for physical interventions including:
* 400 km terraces at US$350 per km;
* 400 km of trenches at US$280 per km;
* 1600 units of eyebrow basins at US$350 per unit;
* 200 units of percolation pits at US$75 per unit;
* 40 units of check dams at US$1750 per unit; and
* 200 units of gabion check dams at US$ 750 per unit.
* US$25,000 allocated to each Woreda for additional SWC structures identified during implementation and for tools required such as spades, pick-axes and shears.
* Cost of PV-pumps US$3,600 each. Two to be installed in each Woreda. Labour cost US$5 per day for ten days in each Woreda.
* Cost of Solar panels at US$500 each.
* Cost of drilling wells for PV-pump sites at US$670 per metre. Depths to be determined during assessments under Output 3.1. US$120,860 allocated towards drilling wells.
* Batteries to store power generated by PV-panels at US$500.
* Construction of two reservoirs per Woreda at US$700 per reservoir including material, transport and labour (total cost = US$11,200).
* Maintenance of PV-pumps 24 days per year for four years at US5 per day. Total US$3,840.
* Construct animal shelters totalling 6000 square metres. Costs include: shade netting, poles, fencing material and labour. US$50 per square metre.
* Purchase 1200 calves for animal fattening at US$200 each.
* Feeding of cattle for three months at US$100 per cattle (total cost = US$360,000).
* Purchase 3400 goats/sheep for animal fattening at US$40 each.
* Purchase feed for goats/sheep at US$35 per month for three months (total cost = US$357,000).
* Purchase 360 cattle for dairy production at US$300 each.
* Purchase feed for dairy cattle at US$100 per month for six months (total cost = US$216,000).
* Health care for all animals at US$1500 per month for nine months (total cost = US$13,500).
* Equipment for bee-keeping and honey-production at US$225 per package. 800 packages in total.
* Facilities to be built for the processing of agricultural products. 2000 square metres at US$50 per square metre. Cost includes material and labour.
* Equipment needed for processing agricultural products (for example: knives, wash buckets, scourers and packaging material) US$6,250 per Woreda.
 |
| 21 | * Training material to be developed for workshop stakeholders at US$1,000 per workshop (total cost = US$8,000 per year).
* Training material for workshops.
* Training material, AV equipment and stationery.
 |
| 22 | * Four regional capacity development workshops (one in each region) to be held annually for the first three years to inform Sub-national government staff and extension agents on groundwater management and monitoring techniques as well as to discuss CCA intervention plans. Training material to be developed by each specialist and given to stakeholders at regional workshops. US$2,000 per workshop.
* One workshop per Woreda at US$2,000 for first workshop, thereafter US$1,000 per workshop.
* Capacity development workshops on developing business plans will include Woreda government staff, extension agents and local community groups in each of the eight Woredas. ~50 people to attend in each Woreda. One day at US$2,000 per workshop (US$16,000 in Year 1, 3 and 5).
 |
| 23 | * 15% share of two vehicles to be purchased (shared between the four regions). US$30,000 per vehicle x 15% = US$9,000.
* 15% share of eight motorbikes to be purchased (one per Woreda). Cost = US$2,500 per motorbike x 15% = US$3,000.
 |
| 24 | * 15% share of maintenance costs @ US$10,000 per year for Years 2-5 x 15% = US$1,500 per year.
 |
| 25 | * M&E Specialist salary = US$4,00 per year for 5 years.
* 50% of 8 x Woreda Project Officer (WPO) salaries = 50% of US$300 per WPO per month for 60 months.
 |
| 26 | * MTR Specialist = US$40,000.
* TE Specialist = US$40,000.
 |
| 27 | * Local MTR Specialist to assist with updating MTR Tracking Tool = US$10,000.
* Local TE Specialist to assist with updating TE Tracking Tool = US$10,000.
 |
| 28 | * Annual audit = US$3,000 per year
 |
| 29 | * Miscellaneous costs associated with project management, including day-to-day travel costs, office equipment, etc. associated with PMU.
 |
| 30 | * Inception workshop = US$11,000.
 |
| 31 | * Direct Project Cost: this is to cover the services that will be rendered by UNDP CO – detail service attached.
 |
| 32 | * Project Manager salary = US$1,500 per month for 60 months
* Finance and Administration Assistant salary = US$500 per month for 60 months
 |
| 33 | * Purchase of two vehicles
 |
| 34 | * Office supplies = $1,600 per year for 5 years
 |

# Legal Context

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP’s property in the implementing partner’s custody, rests with the implementing partner.

The implementing partner shall:

* put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; and
* assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm> This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

# Mandatory Annexes

1. Multi-year Workplan (see template below)
2. Monitoring Plan (see template below)
3. Evaluation Plan (see template below)
4. GEF Tracking Tool (s) at baseline
5. Terms of Reference for Project Steering Committee, Project Manager, Chief Technical Advisor and other positions as appropriate
6. UNDP Social and Environmental and Social Screening Template (SESP)
7. Environmental and Social Management Plan (ESMP) for moderate and high risk projects only
8. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)
9. UNDP Risk Log (to be completed by UNDP Country Office)
10. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)
11. Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”), letters of financial commitments, GEF OFP letter, GEF PIFs and other templates for all project types, LOA with the government in case DPCs are applied should be attached.

Other Annexes that may be required:

* GEF focal area specific annexes (e.g. GHG calculations)
* List of people consulted during project development
* Communication/Stakeholder Engagement plan
* Gender Analysis
* KM Strategy
* Financial and/or economic analysis
	1. **Multi-year Work Plan:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Task** | **Responsible Party** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
| *Q1* | *Q2* | *Q3* | *Q4* | *Q1* | *Q2* | *Q3* | *Q4* | *Q1* | *Q2* | *Q3* | *Q4* | *Q1* | *Q2* | *Q3* | *Q4* | *Q1* | *Q2* | *Q3* | *Q4* |
| Output 1.1: Development of strategies for capacity development and training programs based on assessment of the capacity and resource needs of MoANR, MoLF; MoFEC, MEFCC, MoWIE and NMA at federal, regional and Woreda-level to build climate resilience. | MoANR, MoFEC, MoLF, MEFCC, NMA and MoWIE. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 1.2: Training programmes for development of staff from MoANR, MoLF; MoFEC, MEFCC, NMA and MoWIE at federal, regional and Woreda-level on climate change and climate-resilient planning. | MoANR, MoLF, MoFEC, MEFCC, NMA and MoWIE. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 1.3: Training of extension agents and local communities to integrate climate change into planning processes. | MoANR, MEFCC, MoLF, MoWIE, NMA, local communities, NGOs. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 1.4: Annual knowledge-sharing forum of regional and Woreda-level sectoral experts, development agents and community representatives. | MoANR, MEFCC, MoWIE, NMA, MoFEC, local communities, CBOs, NGOs. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 1.5: Public awareness-raising campaign and training programme for local communities – including women and youths – on the implementation of climate-resilient adaptation interventions and diversified livelihoods.  | MoANR, MEFCC, MoLF MoWIE, NMA, Woreda Steering Committees; CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 2.1: A functional climate information and early warning system to monitor weather conditions. | NMA, MEFCC, MoANR, MoWIE, extension agents, CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 2.2: Community-based climate forecast and decision-making support tool.  | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 2.3: Capacity development of extension agents, CBOs (women’s groups, school clubs and youth groups) as well as farmers on climate information and monitoring systems.  | NMA, academic institutions, CBOs, CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 3.1: Vulnerability assessments and integrated watershed management and landscape management plans.  | NMA, MEFCC, MoANR, MoH, MoLF, MoWIE, NMA, extension agents, CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 3.2: Integrated watershed management across the eight target Woredas.   | NMA, MEFCC, MoANR, MoLF, MoWIE, NMA, extension agents, CBOs, local communities |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 3.3: Climate resilient livelihood diversification interventions (both on-farm and off-farm) introduced.  | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| Output 3.4: Strategy for monitoring, evaluating and upscaling activities, including potential for local investment by microfinance institutions (MFIs).  | NMA, MEFCC, MoANR, MoLF, MoWIE, extension agents, CBOs, local communities and MFIs. |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| * 1. **Monitoring Plan:**
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| **Monitoring** | **Indicators** | **Description** | **Data source/Collection Methods** | **Frequency** | **Responsible for data collection** | **Means of verification** | **Assumptions and Risks** |
| **Project Objective:** The objective of the proposed LDCF project is to mainstream climate risk considerations into federal, regional and Woreda-level planning processes so that local communities across the Ethiopian highlands are more resilient to climate change. | ***Indicator 1*** | Number of direct project beneficiaries – disaggregated by gender. | Survey in local communities in each of the eight target Woredas. | Annually | Project Manager | M&E report | The project is well managed and implemented according to set plans. Women are actively involved in all participatory planning and decision-making processes that take place during project implementation. |
| **Project Outcome 1** | ***Indicator 2***  | Number of annual/bi-annual cross-regional knowledge-sharing forums held. | Consultation with WSCs and CBOs | Annually | Project Manager | M&E Report | The WSCs are in regular communication with the PMU.Local communities are well represented by the CBOs.Forum planning is undertaken in advance and details are communicated to all stakeholders timeously. |
| ***Indicator 3*** | Number of climate adaptation extension products and services available to the communities of the target Woredas. | Survey in local communities in each of the eight target Woredas. | Annually | Project Manager, assisted by Woreda Project Officers | M&E Report | Extension agents and regional NMA staff attend capacity development workshops and implement the expertise gained. Local communities commit to work with extension agents to implement climate adaptation technologies. |
| ***Indicator 4*** | Number of farming communities covered by climate smart and knowledge based extension services. | Survey in local communities in each of the eight target Woredas. | Annually | Project Manager, assisted by Woreda Project Officers | M&E Report | Extension agents and regional NMA staff attend capacity development workshops and implement the expertise gained. Farmers commit to work with extension agents to implement climate smart techniques. |
| ***Indicator 5*** | Percentage of targeted population awareness of predicted adverse impacts of climate change and appropriate responses (score) – disaggregated by gender. | Consultation with local communities, CBO and extension agents. | Annually | Project Manager | M&E Report | Involvement in the design and implementation of project interventions and ongoing communication on the expected benefits of CSA and SWC measures for local communities will result in long-term support of the project. |
| **Project Outcome 2** | ***Indicator 6*** | Number of people with access to improved climate information services. (AMAT Indicator 7) ­– disaggregated by gender. | Consultation with local communities. | Annually | Project Manager | M&E Report | Extension agents and regional NMA staff attend capacity development workshops and implement the expertise gained. Local communities commit to work with NMA staff in gathering weather information and monitoring AWS. |
| ***Indicator 7*** | Operational AWS in each of the 8 target Woredas. | Survey and inspection of AWS in each target Woreda. | Annually | Project Manager | M&E Report | Suitable upgrades are made to existing AWS. All AWS are well maintained and monitored.  |
| **Project Outcome 3** | ***Indicator 8***  | Number of integrated watershed management and landscape management plans developed and operationalized. | Consultation with WSC in each target Woreda. Local communities and CBOs also to be consulted.  | Annually | Project Manager | M&E Report | Woreda-level sectoral experts, extension agents, NGOS and local communities will be willing to adopt a partnership approach and work collaboratively with hired specialists to plan and implement integrated watershed management and landscape management plans in the eight target Woredas.  |
| ***Indicator 9*** | Number of business plans developed to promote upscaling of project interventions. | Consultation with WSC in each target Woreda. Local communities and CBOs also to be consulted. | Annually | Project Manager | M&E Report | Extension agents, NGOS and local communities will attend technical capacity development workshops relating to business plan development. Attendees will leave workshops with the necessary knowledge and assistance to develop and implement their own business plans. |
| ***Mid-term GEF Tracking Tool (if FSP project only)*** | N/A | N/A | Standard GEF Tracking Tool available at [www.thegef.org](http://www.thegef.org) Baseline GEF Tracking Tool included in Annex. | After 2nd PIR submitted to GEF | For example, national university; project consultant but not evaluator | Completed GEF Tracking Tool |  |
| **Terminal GEF Tracking Tool** | N/A | N/A | Standard GEF Tracking Tool available at [www.thegef.org](http://www.thegef.org) Baseline GEF Tracking Tool included in Annex. | After final PIR submitted to GEF | For example, national university; project consultant but not evaluator | Completed GEF Tracking Tool |  |
| ***Mid-term Review (if FSP project only)*** | N/A | N/A | To be outlined in MTR inception report | Submitted to GEF same year as 3rd PIR | Independent evaluator | Completed MTR |  |

* 1. **Evaluation Plan:**

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| --- | --- | --- | --- | --- | --- | --- |
| **Evaluation Title** | **Planned start date****Month/year** | **Planned end date****Month/year** | **Included in the Country Office Evaluation Plan** | **Budget for consultants[[59]](#footnote-60)** | **Other budget (i.e. travel, site visits etc…)** | **Budget for translation** |
| **Mid-term Review** | October, 2019 | To be submitted to GEF between 2nd and 3rd PIR.  | Yes | USD 40,000 | N/A |  |
| **Terminal Evaluation** | October, 2021 | To be submitted to GEF within three months of operational closure | Yes | USD 40,000 | N/A |  |
| **Total evaluation budget** | **USD 80,000** |

* 1. **GEF Tracking Tool at Baseline**

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| --- |
| **Project identification** |
| Project title: | CCA Growth: Implementing climate resilient and green economy plans in highland areas in Ethiopia |
| Country(ies): | Ethiopia | GEF project ID: | 6967 |
| GEF Agency(ies): | UNDP | Agency project ID: | 5478 |
| Executing Partner(s): | Ministry of Environment, Forest and Climate Change (MEFCC) | Council/ CEO Approval date: |   |
| Project status at submission: |   | Tool submission date: |   |
| Project baselines, targets and outcomes |
| **Indicator** | **Unit of measurement** | **Baseline at CEO Endorsement** | **Target at CEO Endorsement** | **Actual at mid-term** | **Actual at completion** | **Comments (e.g. specify unit of measurement)** |
| Objective 1: Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climatechange |
| Indicator 1: Number of direct beneficiaries | number of people | 0 | 55,000 |   |   |   |
| % female | 0 | 50 |   |   |   |
| vulnerability assessment (No) |   |   |   |   |   |
| *Outcome 1.1: Vulnerability of physical assets and natural systems reduced* |
| Indicator 2: Type and extent of assets strengthened and/or better managed to withstand the effects of climate change | ha of land | 0.00 | 8,000.00 |   |   | Hectares under watershed restoration and CSA management measures. |
| km of coast | N/A | N/A |   |   |   |
| km of roads | N/A | N/A |   |   |   |
| *Outcome 1.2: Livelihoods and sources of income of vulnerable populations diversified and strengthened* |
| Indicator 3: Population benefiting from the adoption of diversified, climate-resilient livelihood options | number of people | 0 | 35,000 |   |   | Examples of additional income-generating activities include: crop production, agro-forestry, horticulture, animal fattening, dairy production, bee-keeping, and value-addition to agricultural products. |
| % female | 0 | 50 |   |   |   |
| % of targetedpopulation | 0 | 64 |   |   |   |
| *Outcome 1.3: Climate-resilient technologies and practices adopted and scaled up* |
| Indicator 4: Extent of adoption of climate-resilient technologies/ practices | number of people | 0 | 45,000 |   |   | Climate-smart agriculture and watershed restoration (zero-tilling, mulching, use of organic manure, water-demand management, rain-water-harvesting, grazing management, drip irrigation, conservation agriculture, disease/drought resistant crop varieties) |
| % female | 0 | 50 |   |   |   |
| % of targeted | 0 | 82 |   |   | % increase in the number of farmers who adopt climate-smart agriculture and/or SWC measures |
| number of ha | 0 | 6,000 |   |   |   |
| % of targeted | 0 | 75 |   |   |   |
| Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation |
| *Outcome 2.1: Increased awareness of climate change impacts, vulnerability and adaptation* |
| Indicator 5: Public awareness activities carried out and population reached | Yes/No | No | Yes |   |   |   |
| number of people | 0 | 55,000 |   |   |   |
| % female | 0 | 50 |   |   |   |
| *Outcome 2.2: Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels* |
| Indicator 6: Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated | number of relevant assessments/ knowledge products | 0 | 2 |   |   | Improved score on the Risk and Vulnerability Perception Index |
| Indicator 7: Number of people/ geographical area with access to improved climate information services | number of people | 0 | 55,000 |   |  |  |
| % female | 0 | 50 |   |  |  |
| % of targeted area (e.g. % of country's total area) | 0 | 1 |   |   | There are eight project Woredas, which will all receive access to improved climate information. Ethiopia has 800 Woredas in total. Thus, 1% of the Woredas in Ethiopia will be targeted. |
| Indicator 8: Number of people/ geographical area with access to improved, climate-related early-warning information | number of people | 0 | 55,000 |   |   |   |
| % female | 0 | 50 |   |   |   |
| % of targeted area (e.g. % of country's total area) | 0 | 1 |   |   | There are eight project Woredas, which will all receive access to EWS. Ethiopia has 800 Woredas in total. Thus, 1% of the Woredas in Ethiopia will be targeted. |
| *Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures* |
| Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures | number of people | 0 | 35,000 |  |  |   |
| % female | 0 | 50 |   |   |   |
| Indicator 10: Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures  | number of institutions | 0 | 3 |   |   | MEFCC, MoANR, NMA |
| score | 0 | 2 |   |   | As per GEF scoring methodology |
| Objective 3: Integrate climate change adaptation into relevant policies, plans and associated processes |
| *Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened* |
| Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes | number of countries |  |  |   |   |   |
| score |  |  |   |   |   |
| *Outcome 3.2: Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures* |
| Indicator 12: Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures | number of policies/ plans/ processes | 1 | 3 |   |   | The targeted plans here are the Growth and Transformation Plan (GTP), the Climate-resilient Green Economy (CRGE) Strategy and the Agricultural Growth Programme (AGP) |
| score | 1 | 2 |   |   | The CRGE strategy focuses on implementing climate change adaptation and mitigation strategies in Ethiopia. The GTP and AGP currently do not have climate change considerations integrated into its design. Suggestions will be made to both strategies for the integration of CCA strategies in their design and budgetary process. |
| Indicator 13: Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures | number of research strategies on climate-smart agriculture | N/A | N/A |   |   |   |
| number of climate-resilient land use and area development plans | 0 | 8 |   |   | The local Woreda-development plans in each target Woreda will be strengthened by suggesting additions of climate change considerations.  |
| *Outcome 3.3: Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened* |
| Indicator 14: Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation | number of countries |  |  |   |   |   |
| score | N/A | N/A |   |   | (if the scoring methodology is different from the recommended [see Sheet 2], please describe) |
| Reporting on GEF gender indicators |
| Q1: Has a gender analysis been conducted during project preparation? | YES | NA | NA |   |
| Q2: Does the project results framework include gender-responsive indicators, and sex-disaggregated data? | YES |   |   |   |
| Q3: Of the policies, plans frameworks and processes supported (see indicators 12 and 13 above), how many incorporate gender dimensions (number)? |   |   |   |   |
| Q4: At mid-term/ completion, does the mid-term review/ terminal evaluation assess progress and results in terms of gender equality and women's empowerment? |   |   |   |   |

* 1. **Terms of Reference for relevant positions**

**Terms of Reference for National Steering Committee (NSC)**

*Background*

The NSC will be responsible for undertaking management-related and technical decisions for the project in accordance with this ToR and providing guidance and direction for the project when required.

Tasks of the NSC will include *inter alia* approval of project plans, Annual Work Plans (AWPs) and revisions by UNDP and the MEFCC. The committee will ensure a continued cohesion between the project and the mandate of the MEFCC. It will also provide additional linkages and interactions with high-level policy components within the Government. The NSC will approve the responsibilities of the PM and intervene when conflicts within the project and between project members arise.

The NSC will comprise the following members:

* + Secretary MEFCC (Co-Chair);
	+ Representatives of:
		- * + MoANR;
				+ MoWIE;
				+ MoLF;
				+ MoFEC;
				+ NMA;
	+ One government representatives from each project region; and
	+ UNDP (Co-Chair).

*Scope of Work*

Specific responsibilities of the NSC are as follows:

* + Setting a strategic direction, reinforcing government leadership of the programme and coordinating all interventions.
	+ Providing guidance and agreeing on possible countermeasures/management actions to address specific risks.
	+ Approving the work plans prepared by the PM (prior to approval by UNDP).
	+ Conducting regular meetings to review the progress of LDCF resources and providing direction and recommendations to ensure that the agreed deliverables are produced to a satisfactory standard.
	+ Reviewing and approving all activities that are supported by the project based on the project objectives, work plan and availability of funding.
	+ Providing technical advice to create synergy and uniformity between supported activities, policies and alignment projects.
	+ Monitoring and evaluation of programme activities through periodic meetings and occasional site visits.
	+ Receiving reports on all activities supported by the programme to serve as an additional basis for monitoring and assessing LDCF resources’ performance and delivery.

**Terms of Reference for Project Manager (PM)**

*Scope of Work*

The Project Manager will be recruited by MEFCC on a full-time basis to coordinate the implementation of LDCF resources. He/she will be accountable for *inter alia*: i) the quality, timeliness and effectiveness of the interventions carried out; and ii) the use of project funds[[60]](#footnote-61).The PM will report to the NSC.

Particular responsibilities of the PM include:

* + Head the PMU.
	+ Report to the NSC regarding project progress.
	+ Oversee and manage project implementation, monitor work progress, and ensure timely delivery of outputs in accordance with GEF and UNDP guidelines.
	+ Ensure timely preparation of detailed AWPs and budgets for approval by NSC.
	+ Organise the NSC meetings.
	+ Deliver quarterly progress reports to the UNDP Task Manager and UNDP.
	+ Provide on-the-ground information for UNDP progress reports.
	+ Provide technical support to the project, including measures to address challenges to project implementation.
	+ Supervise, coordinate and facilitate the work of the Project Finance and Administrative Associate (PFAA) and the Project Technical Assistant to the Coordinator (PTA), field officers and the technical committee (including national and international experts).
	+ Participate in training activities, report writing and facilitation of expert activities that are relevant to the PM’s area of expertise.
	+ Establish linkages and networks with the ongoing activities of other government and non-government agencies.
	+ Liaise and coordinate with UNDP TM on a regular basis.

*Qualifications*

* + Master’s degree in environment, natural resources management, ecological restoration or a closely related field.
	+ A minimum of 10 years relevant work experience including at least 6 years’ experience as a lead project manager in relevant sectors.
	+ Demonstrated solid knowledge of adaptation to climate change, ecological restoration and sustainable exploitation of natural resources.
	+ Experience in the public participation development process associated with environment and sustainable development is an asset.
	+ Experience in working and collaborating within governments is an asset as well as experience in GEF projects.
	+ Fluent in Amharic and English including writing and communication skills.

*Reporting*

The PM will work closely with the NSC and the UNDP TM to ensure the availability of information on progress and performance regarding the implementation of the project. The PM will deliver progress reports on a monthly basis to the TM and the UNDP CO. These reports will include: i) status of activities; and ii) challenges encountered on the ground during project execution.

**Terms of Reference of the Project Finance and Administration Assistant (PFAA)**

The PFAA will be nationally recruited and report to the PM. The PFAA will be familiar with UNDP financial administration procedures and financial reporting requirements. He or she will produce the necessary financial reports for UNDP and directly support the PM with administrative tasks.

*Responsibilities*

* + Standardise the finance and accounting systems of the project while maintaining compatibility with the government and UNDPs financial accounting procedures.
	+ Prepare revisions of the budget and assist in the preparation of the AWPs.
	+ Comply and verify budget and accounting data by researching files, calculating costs and estimating anticipated expenditures from readily available information sources.
	+ Prepare status reports, progress reports and other financial reports.
	+ Process all types of payment requests for settlement purposes including quarterly advances to the partners upon joint review.
	+ Prepare periodic accounting records by recording receipts, disbursements (ledgers, cashbooks, vouchers, etc.) and reconciling data for recurring or financial reports and assist in preparation of annual procurement plans.
	+ Undertake project financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final revisions, and support professional staff in preparing the terminal assessment reports.
	+ Assist in the timely issuance of contracts and assurance of other eligible entitlements of the project personnel, experts, and experts by preparing annual recruitment plans.

*Qualifications*

* + At least a post-graduate degree in accounting, financial management or a related discipline such as.
	+ A minimum of 5 years’ experience in a senior finance position.
	+ Previous similar experiences working for International Organisations. Working for an UN agency would be an advantage.
	+ Experience with procurement processes an advantage.
	+ Good communication and computer skills.
	+ Fluent in spoken and written Amharic and English.

**Terms of Reference of the Monitoring and Evaluation Specialist (M&E Specialist)**

*Responsibilities*

* + Establishing a performance monitoring framework to define bi annual targets for the project to meet the targets defined in the project document by the end of the implementation phase.
	+ Measuring the indicators once per year to evaluate the progress of the project in meeting the targets and the application of gender-disaggregated indicators.
	+ Reporting to the PMU and PM on the performance of the project according to project and AMAT indicators.

The M&E specialist will report to the PM. Key responsibilities include: i) establishing and managing a performance monitoring framework; ii) train the PMU on effective M&E processes; iii) plan and supervise the activities of Woreda Project Officers; and iv) regular monitoring of the project indicators to detect delays, technical problems or discrepancies (e.g. with gender equity indicators) early on.

**General Terms of Reference for National Experts of the Support Team**

Local expertise will be sourced where possible in place of international expertise in order to strengthen in-country capacity. National experts will be hired by the project to:

* + Collect data.
	+ Provide advice relevant to their field.
	+ Monitor interventions.

Additionally, the national experts must be experts in their field. Additionally, they should have good knowledge and understanding of Ethiopia’s climate change vulnerability and an appropriate MSc degree and a minimum of 5 years’ experience or an appropriate bachelor’s degree and 10 years’ experience in their field of expertise. National experts need to be fluent in spoken and written Amharic and English.

The hiring procedures to be followed for both international and national experts must include a transparent and competitive process based on normal procedures.

* 1. **UNDP Social and Environmental Screening Template**

**Project Information**

|  |  |
| --- | --- |
| ***Project Information***  |  |
| 1. Project Title
 | CCA Growth: Implementing climate resilient and green economy plans in highland areas in Ethiopia |
| 1. Project Number
 | PIMS 5478 |
| 1. Location (Global/Region/Country)
 | Ethiopia  |

**Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability**

|  |
| --- |
| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| The objective of the proposed LDCF project is to mainstream climate risks into national and sub-national planning processes thereby increasing the resilience of local communities across the Ethiopian highlands to climate change. Therefore, a human-rights approach is integral to the project. The proposed project will support local community development by: i) empowering local communities to effectively manage watersheds and agricultural areas in light of climate change; and ii) strengthening the capacity of local stakeholders – specifically farmers, women and youths – through community-based organizations to build partnerships with the extension services and be more actively involved in planning and decision-making. Income-generating activities will be created through the project implementation, thereby diversifying livelihood opportunities as well as promoting livelihood diversification.  |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| Gender considerations will be mainstreamed into the project’s activities to ensure that women are included in the selection of activities to increase their resilience and the income-generation capacity and opportunities available to them. Women and women groups were consulted during PPG phase and their needs and requests integrated into the proposed project design. Various training and capacity-building programmes will be held that target all stakeholders, including women and youths. In addition, technical support and advice will be sought from a gender specialist during the planning and design of integrated watershed management and landscape management plans under Output 3.1. In alignment with the rights-based approach, the proposed project has identified opportunities to increase youth and female participation in the project’s activities and decision-making processes. This includes: i) incorporating gender-disaggregated indicators and targets in the results framework of the proposed project, specifically at community training workshops, demonstration activities and management committees: ii) targeting of gender vulnerabilities into project interventions so that the most climate vulnerable groups within a community receive support from the proposed project; and iii) participation of stakeholders through project planning and implementation to ensure that gender considerations are appropriately mainstreamed into project activities.  |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| Under Component 3 of the proposed project, the resilience of local communities will be increased by implementing climate-smart agriculture techniques and soil and water conservation measures suited to deal with current and future climate change impacts. Furthermore, the capacity of local communities to design and implement climate-smart agricultural and livestock practices, as well as watershed restoration and landscape management plans will be increased. These interventions will increase the capacity of local communities to adapt to climate change. Watershed restoration measures will focus on utilising indigenous plant species for reforestation and biophysical SWC measures. In this way, the risks associated with using exotic species will be avoided. Furthermore, indigenous species have shown to be climate-resilient and survive drought periods, providing economic benefits to local communities. The project seeks to integrate sustainability and resilience of ecosystems into the watershed and restoration activities. Climate change adaptation through the sustainable management of watersheds and natural resources will be promoted for integration into local and national government development planning. The increased availability and accuracy of hydro-meteorological data – as a result of Outcome 2 – will enable the increased uptake and incorporation of this data in land-use planning and decision-making. For example, Woreda governments would have the information available to produce drought and flood prone area maps to facilitate land use planning.  |

**Part B. Identifying and Managing Social and Environmental Risks**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| Risk 1: Duty-bearers do not have the capacity to meet their obligations in the Project | I = 3P = 2 | **Moderate** | The proposed project is essentially a country-driven initiative. Therefore, Ethiopian stakeholders will be the ultimate duty-bearers.  | The roles and responsibilities of each participating duty-bearer have been identified and clarified. The project will seek to fill the capacity gaps and resource needs – already identified at PPG stage – through ongoing capacity development programmes. Throughout project implementation, duty-bearers will be in regular communication with the PMU to ensure that tasks are understood and conducted effectively. Further capacity gaps will be identified and addressed through adaptive management by proposing cost effective strategies and approaches to addressing these needs during project implementation.  |
| Risk 2: Rights-holders do not have the capacity to claim their rights. | I = 4P = 2 | **Moderate** | The project sites include areas in which poverty and employment are high and literacy rates are low. Therefore, the ability of individuals and groups to influence decision making is reduced. | The project will establish new and support existing community-based organisations (CBOs) that will receive training on participatory approaches to watershed management and landscape planning, as well as on climate change adaptation techniques. These activities will empower local communities to claim their rights to land and natural resources. The project will be characterised by direct participation of a variety of stakeholders at community, local government and national government levels. |
| Risk 3: Proposed project will involve harvesting of natural forests, plantation development, or reforestation. | I = 1P = 5 | **Low** | Conservation agriculture and agroforestry techniques will be implemented during the project. Focus will be placed on utilising indigenous species, discouraging the use of exotic species.The proposed project will promote the regeneration of degraded land through reforestation and the use of SWC measures. | Indigenous, multi-use plant/tree species will be selectedfor planting around homesteads for wood production and agricultural practices. The use of exotic species will be discouraged. Training of local communities will include education on the benefits of using indigenous, multi-use plant species rather than exotics in watershed restoration programmes. |
| Risk 4: The proposed project involves significant extraction, diversion or containment of surface or ground water. | I = 3P = 4 | **Moderate**  | The project will construct up to 40 check dams to slow water flow and to increase groundwater recharge. Additionally, the project will construct up to 8 reservoirs to store water extracted using PV-pumps. This water would be used to run small-scale irrigation in CSA fields. | Geo-hydrological assessments and an EIA will be carried out to determine the ideal location for check dams, reservoirs and PV-pumps. In addition, communities will be consulted in the broader site selection process.  |
| Risk 5: Outcomes of the proposed project will be sensitive or vulnerable to potential impacts of climate change. | I = 1P = 5 | **Low**  | The project is targeting degraded watersheds and agri-productive lands to increase local communities’ resilience to climate change.  | Current and future climatic variability will be taken into account in the restoration processes. Furthermore, resilient species – particularly in the seedling and sapling stages – will be selected for agro-forestry and CSA techniques. This will promote maximum survival of species and greater vegetative coverage of soil surfaces compared with the use of climate-sensitive species.“No-regret” physical SWC measures will be implemented that enable communities to thrive during harsh climatic periods as well as during optimal years. |
| Risk 6: Proposed project will potentially affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources | I = 3 P =3 | **Moderate** | Existing land exclosure sites will be targeted for watershed restoration during project implementation. Upscaling exclosure sites over larger areas could influence land use opportunities. | The project will ensure that local communities – including women and landless youths – are involved in the assessments, negotiations and dialogue regarding land classification, use and planning. Vulnerable groups will be empowered to influence allocation decisions and will receive benefits from the restoration and provision of income-generating activities on communal lands.  |
|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** |  |  |
| ***Moderate Risk*** | **X** | **The highest order of risk is “moderate” in Question 2. However, the risks are easily managed and will not have adverse social or environmental impacts.** |
| ***High Risk*** |  |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **X** | As a development organization, UNDP’s project design and implementation prioritises human approaches to ensure project intervention does not contribute to the worsening of the conditions of certain groups and individuals, but rather promotes equal participation, equitable representation and fair access to benefits.  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **X** | The project design includes gender considerations in all aspects to ensure that women and youth empowerment are integrated into project implementation, monitoring and reporting of results. |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **X** | Biodiversity conservation and natural resource management are at the centre of the project’s approach to promoting climate change adaptation. Restoring degraded watersheds and introducing climate-smart agriculture are viewed as cost effective approaches to increase the resilience of local communities to climate change.  |
| ***2. Climate Change Mitigation and Adaptation*** | **X** | This is a climate change adaptation project, designed specifically to mainstream climate risk considerations into food production and water management systems.  |
| ***3. Community Health, Safety and Working Conditions*** | **☐** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **☐** |  |
| ***6. Indigenous Peoples*** | **☐** |  |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

**Final Sign Off**

|  |  |  |
| --- | --- | --- |
| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor |  | UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted. |
| QA Approver |  | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD)**,** Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair |  | UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.  |

**SESP Attachment 1. Social and Environmental Risk Screening Checklist**

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No  |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[61]](#footnote-62)  | No  |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | No  |
| 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | No  |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | Yes  |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights?  | Yes  |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No  |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No  |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No  |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | No  |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | Yes  |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | No  |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No  |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | No  |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No  |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | No  |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | Yes  |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No  |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | Yes |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No  |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.* | No  |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[62]](#footnote-63) greenhouse gas emissions or may exacerbate climate change?  | No  |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | Yes  |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No  |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No  |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No  |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No  |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No  |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?  | No  |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No  |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No  |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No  |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No  |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | No |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[63]](#footnote-64) | No  |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | Yes  |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | No  |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No  |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.* | No  |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No  |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No  |
| 6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | No  |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No  |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No  |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No  |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No  |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No  |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | No  |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No  |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No  |

1. ~95% of the total area under agricultural use <http://global-growing.org/sites/default/files/GGC_Ethiopia.pdf> [↑](#footnote-ref-2)
2. Ethiopian Central Statistics Agency & World Food Programme. 2014. Comprehensive Food Security and Vulnerability Analysis, March 2014. [↑](#footnote-ref-3)
3. which include *inter alia*: i) deforestation for wood fuel; ii) cropping in marginal areas such as steep slopes; and iii) overgrazing [↑](#footnote-ref-4)
4. The problem has been recognised since the early 1970s by the Government of Ethiopia (GoE) itself, which states the causes to include, “poverty, population pressure, inappropriate (land) use and management, inadequate inputs, unsuitable farming and grazing practices, inappropriate technologies, inefficient markets…and land tenure insecurity” (Government of Ethiopia. 2011. Revised Project Implementation Manual for the Sustainable Land Management Program. Ministry of Agriculture and Rural Development, The Federal Democratic Republic of Ethiopia. January, 2011.) [↑](#footnote-ref-5)
5. Food and Agriculture Organisation (FAO). 2010. Global forest resources assessment 2010. FAO forestry paper 163, Rome, 2010. [↑](#footnote-ref-6)
6. Average national temperatures have increased by 1.3°C between 1960 and 2006. (McSweeney C, Lizcano G, New M & Lu X. 2010. The UNDP Climate Change Country Profiles. *Bulletin of the American Meteorological Society* 91: 157–166.) [↑](#footnote-ref-7)
7. <https://www.iisd.org/cristaltool/documents/BFA-Ethiopia-Assessment-Report-Eng.pdf>. Accessed 16 May 2016. [↑](#footnote-ref-8)
8. Robinson S, Strzepek K & Cervigni R. 2013. The Cost of Adapting to Climate Change in Ethiopia: Sector-Wise and Macro-Economic Estimates. IFPRI, ESSP Working Paper 53. Available online at: <http://www.ifpri.org/sites/default/files/publications/esspwp53.pdf>. Accessed 15 May 2016. [↑](#footnote-ref-9)
9. The Second Growth and Transformation Plan (GTP II) (2015/16-2019/20) Available online at: <https://www.africaintelligence.com/c/dc/LOI/1415/GTP-II.pdf>. Accessed 15 May 2016. [↑](#footnote-ref-10)
10. Climate change national adaptation programme of action (NAPA) of Ethiopia. 2007. Available online at: <http://unfccc.int/resource/docs/napa/eth01.pdf>. Accessed 15 May 2016. [↑](#footnote-ref-11)
11. Ethiopia’s Climate-Resilient Green economy strategy. 2011. Available online at: <http://www.undp.org/content/dam/ethiopia/docs/Ethiopia%20CRGE.pdf>. Accessed 15 May 2016. [↑](#footnote-ref-12)
12. The MERET programme made contributions towards ecosystem restoration, but has been phased out due to shortages in funding. [↑](#footnote-ref-13)
13. At Kebele level, “development agents” are responsible for technical advisory services to farmers. At a Woreda-level, “extension officers” oversee the activities of and provide guidance to development agents. The term “extension agents” is used to refer to both levels throughout this document, as their roles often overlap. [↑](#footnote-ref-14)
14. A participatory planning approach is one in which local communities are actively involved in the strategic planning, management and implementation of a project. [↑](#footnote-ref-15)
15. The Global Mechanism of the UNCCD. 2007. Practical guide to designing integrated financial strategies for combating desertification. Rome, Italy: Global Mechanism (GM) of the UNCCD. [↑](#footnote-ref-16)
16. such as those set in the GTP-II and CRGE [↑](#footnote-ref-17)
17. UNDP. 2014. Strengthening climate information and early warning systems in Eastern and Southern Africa for climate resilient development and adaptation to climate change (CIRDA) – Global Project Document. United Nations Development Programme. [↑](#footnote-ref-18)
18. The “Last Mile” is a term originating in the telecommunications and technology industries that is used to describe the technologies and processes that connect the end customer to a communications network. The Last Mile is often stated in terms of the "Last-Mile problem" because the end link between consumers and connectivity has proved to be disproportionately expensive to solve. Mills A, Huyser O, van den Pol O, Zoeller K, Snyman D, Tye N & McClure A. 2016. UNDP Market Assessment: Revenue generating opportunities through tailored weather information products. United Nations Development Programme. Available online at: http://www.adaptation-undp.org/sites/default/files/resources/revenue-generating-opportunities-for-tailored-weather-information-productions-undp-june-2-2016\_0.pdf. Accessed on 16 August 2016. [↑](#footnote-ref-19)
19. Sutter P, Frankenburger T, Downen J, Greeley M & Mueller M. 2012. World Food Programme Ethiopia, MERET Impact Evaluation. Institute of Development Studies. [↑](#footnote-ref-20)
20. ‘Non-MERET households’ refers to control households from nearby, non-target areas not participating in the programme. [↑](#footnote-ref-21)
21. Kassam AH, Friedrich T, Shaxson TF & Pretty JN. 2009. The spread of Conservation Agriculture: justification, sustainability and uptake. *International Journal of Agriculture Sustainability* 7: 292-320. [↑](#footnote-ref-22)
22. Cavaleri MA & Sack L. 2010. Comparative water use of native and invasive plants at multiple scales: a global meta-analysis. Ecology 91:2705–15. [↑](#footnote-ref-23)
23. Biological SWC measures refers to the use of plant species to strengthen existing or establish new SWC structures. For example, planting trees along terraces to strengthen the embankments. [↑](#footnote-ref-24)
24. Landless farmers are those who have not been assigned land through the traditional land tenure system whereby inherited farms are subdivided amongst relatives. These farmers rely on shared farmland areas that can often not support the needs of all its users. (Sutter P, Frankenburger T, Downen, J, Greeley M & Mueller M. 2012. World Food Programme Ethiopia, MERET Impact Evaluation. Institute of Development Studies) [↑](#footnote-ref-25)
25. World Economic Forum. 2015. Global Gender Gap Report, 2015. World Economic Forum, Geneva Switzerland. Available online at: <http://www3.weforum.org/docs/GGGR2015/cover.pdf>. Accessed 16 August 2016. [↑](#footnote-ref-26)
26. Central Statistical Agency Ethiopia and ICF International. 2012. Ethiopia Demographic and Health Survey 2011. Addis Ababa, Ethiopia and Calverton, Maryland, USA. Available online at: <https://dhsprogram.com/pubs/pdf/FR255/FR255.pdf>. Accessed 16 August 2016. [↑](#footnote-ref-27)
27. which means that women are responsible for the majority of subsistence household production [↑](#footnote-ref-28)
28. World Food Programme (WFP). 2011. The contribution of food assistance to durable solutions in protracted refugee situations: It’s impact and role – Ethiopia. A Mixed Method impact evaluation. [↑](#footnote-ref-29)
29. E.g. expansion of irrigated agriculture, dairy and poultry farming; introduction of multipurpose tree species into households and promotion of beekeeping, honey production and beeswax harvesting. [↑](#footnote-ref-30)
30. including *inter alia* the Alamora Women’s Association, Atsbi Women’s Association and Dessies Women’s Association [↑](#footnote-ref-31)
31. I.e. household decisions to sell or retain surplus production, and the use of income generated from sales [↑](#footnote-ref-32)
32. Such decisions may include which particular SWC measures to implement, whether to undertake intercropping and which species to be planted, and whether to retain produce for household consumption or whether to sell it. [↑](#footnote-ref-33)
33. No-regret options are those that are justified by current climate conditions and further justified when climate change is considered, e.g. additional off-farm sources of income will provide livelihood benefits extreme weather events increase in frequency. Lim B & Spanger-Siegfried E. 2004. Adaptation policy frameworks for climate change: developing strategies, policies and measures. Cambridge University Press, Cambridge, UK pp 253. [↑](#footnote-ref-34)
34. Sutter P, Frankenburger T, Downen, J, Greeley M & Mueller M. 2012. World Food Programme Ethiopia, MERET Impact Evaluation. Institute of Development Studies. [↑](#footnote-ref-35)
35. Nedessa B, Ali J & Nyborg I. 2005. Exploring Ecological and Socio-Economic Issues for the Improvement of Area Enclosure Management. Oslo, Norway. [↑](#footnote-ref-36)
36. Mekuria W, Veldkamp E, Haile M, Gebrehiwot K, Muys B & Nyssen J. 2009. Effectiveness of exclosures to control soil erosion and local community perception on soil erosion in Tigray, Ethiopia. *African Journal of Agricultural Research* 4:365–377. [↑](#footnote-ref-37)
37. FAO. 2011. “Climate-Smart” Agriculture – Policies, Practices and Financing for Food Security, Adaptation and Mitigation. Food and Agriculture Organisation, Rome. [↑](#footnote-ref-38)
38. Alemayehu F, Taha N, Nyssen J, Girma A, Zenebe A, Behailu M, Deckers S & Poesen J. 2009. The impacts of watershed management on 11 land use and land cover dynamics in Eastern Tigray (Ethiopia). *Resources, Conservation and Recycling* 53:192–198. [↑](#footnote-ref-39)
39. Sircely J. 2016. Restoring Ethiopian highlands at scale. International Livestock Research Institute (ILRI). Addis Ababa, Ethiopia. [↑](#footnote-ref-40)
40. Sutter P, Frankenburger T, Downen, J, Greeley M & Mueller M. 2012. World Food Programme Ethiopia, MERET Impact Evaluation. Institute of Development Studies. [↑](#footnote-ref-41)
41. Ibid. [↑](#footnote-ref-42)
42. Ibid. [↑](#footnote-ref-43)
43. Sircely J. 2016. Restoring Ethiopian highlands at scale. International Livestock Research Institute (ILRI). Addis Ababa, Ethiopia. [↑](#footnote-ref-44)
44. Beyene F. 2015. Incentives and challenges in community-based rangeland management: Evidence from eastern Ethiopia. *Land Degradation and Development* 26: 502–509. [↑](#footnote-ref-45)
45. ‘Multi-level’ here refers to the varying levels of stakeholders – from farmers to Woreda-level administrators – that will be included in the cross-regional knowledge-sharing forum. [↑](#footnote-ref-46)
46. Sutter P, Frankenburger T, Downen, J, Greeley M & Mueller M. 2012. World Food Programme Ethiopia, MERET Impact Evaluation. Institute of Development Studies. [↑](#footnote-ref-47)
47. Ibid. [↑](#footnote-ref-48)
48. Sircely J. 2016. Restoring Ethiopian highlands at scale. International Livestock Research Institute (ILRI). Addis Ababa, Ethiopia. [↑](#footnote-ref-49)
49. See <https://www.thegef.org/gef/policies_guidelines>. [↑](#footnote-ref-50)
50. See <https://www.thegef.org/gef/gef_agencies>. [↑](#footnote-ref-51)
51. See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>. [↑](#footnote-ref-52)
52. Excluding project team staff time and UNDP staff time and travel expenses. [↑](#footnote-ref-53)
53. The costs of UNDP Country Office and UNDP-GEF Unit’s participation and time are charged to the GEF Agency Fee. [↑](#footnote-ref-54)
54. In the MERET programme, Community Based Participatory Watershed Development Teams (CBPWDTs) were established. CBPWDTs were in permanent contact with development agents, local leaders, community members and Woreda line ministry representatives. Their role was to identify issues and opportunities, mobilise communities, and to plan and implement project activities. [↑](#footnote-ref-55)
55. The PMU will have Project Manager; Finance and Administration Officer; Monitoring and Evaluation Officer and two drivers [↑](#footnote-ref-56)
56. See <http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/>. [↑](#footnote-ref-57)
57. See <https://www.thegef.org/gef/policies_guidelines>. [↑](#footnote-ref-58)
58. See <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>. [↑](#footnote-ref-59)
59. The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days. [↑](#footnote-ref-60)
60. The Executing Agency is also accountable for the use of LDCF project funds. [↑](#footnote-ref-61)
61. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-62)
62. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-63)
63. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-64)