

establishment, details of start-up activities and any proposed amendments to project activities or approaches. The report will be circulated to all the involved parties who will be given a period of one calendar month in which to respond with comments or queries. UNDP CO and UNDP/GEF will review the report to ensure consistency with the objectives and activities indicated in the Project Document. The Report will be discussed at the Inception Workshop before finalise and approved at the first PSC meeting.

***(b) Quarterly financial reports/progress reports (physical and financial)***

40. The PMU/MOARD shall provide the National Executing Agency MOFED and UNDP with quarterly financial reports summarizing both progress on achievements and project expenditure over the past quarter. These quarterly reports will set out budget requested, with justification for the following quarter. MOARD approves these reports. Quarterly reports will be based on prior agreement of formats and content between MOARD , MOFED, and UNDP.

***(c) Bi-annual progress reports***

41. These will follow the outcomes / outputs set out in the Logical Framework and M & E framework, in the Project Document. Such reports will be produced every 6 months. These reports will be the major documents feeding into the Project Steering Committee.

***(d) Annual Project Report (APR) and Project Implementation Review (PIR)***

42. The Annual Project Report (APR) and Project Implementation Review (PIR) are combined into a single annual report, sent to UNDP HQ and GEF, and is designed to obtain the independent views of the main stakeholders of a project on its relevance, performance and the likelihood of its success. The APR/PIR aims to: a) provide a rating and textual assessment of the progress of a project in achieving its objectives; b) present stakeholders' insights into issues affecting the implementation of a project and their proposals for addressing those issues; and c) serve as a source of inputs to the Tripartite Review (TPR). The main project stakeholders participate in the preparation of the APR. The Project Coordinator/MOARD, with the support from UNDP CO, will be responsible to incorporate all the inputs into the APR/PIR process. UNDP CO will be responsible for the timely submission of PIR to UNDP/GEF RCU. The APRs will detail activities undertaken since the last APR, milestones reached, key results and achievements, problems encountered and any other issues that need to be highlighted. The APR will use the format of the streamlined APR/PIR provided by UNDP/GEF. Information from this document will be used by the UNDP CO and Regional Coordinator of UNDP/GEF to compile the PIR for GEF Secretariat.

***(e) Occasional Status Reports and Briefing notes***

43. As and when called for by MoARD or UNDP/GEF, the Project Coordinator will prepare Status Reports, focusing on specific issues or areas of activity as stipulated by the requesting agency. The request for a Status Report will be in written form, and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. The parties are requested to minimize their requests for Status Reports, and when such are necessary will allow reasonable timeframes for their preparation.

***(f) Technical Reports***



44. Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report the Project Coordinator will prepare a draft "Reports List", detailing the technical reports that are expected to be prepared by project staff and partners, on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. Technical Reports may also be prepared by consultants as Final Reports for their technical inputs, and should be comprehensive, specialized analyses of clearly-defined areas of research within the framework of the project and its sites. Technical reports will be of high quality detailing progress of the Project.

***(g) Project Publications***

45. Project Publications will form a key method of disseminating the results and achievements of the Project. Publications will be scientific or informational texts in the form of books, journal articles or multimedia publications. These Publications will form a visible public output of the Project, and should be prepared and presented to the highest scientific and technical standards.

***(h) Project Terminal Report (PTR)***

46. During the last three months of the project, MOARD/the Project Coordinator will prepare the Project Terminal Report, which will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met and not met, structures and systems implemented, etc. This will be the definitive statement of the Project's activities over the three-year duration. It will set out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

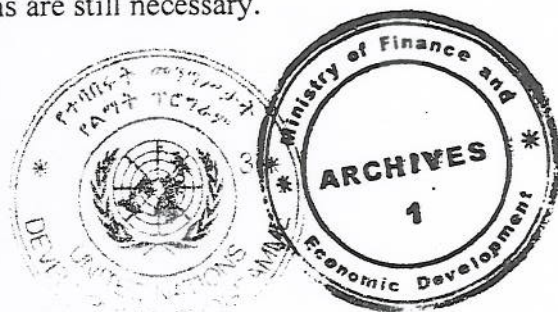
**Monitoring & Evaluation**

***(a) Tripartite Review (TPR)***

47. The tripartite review (TPR) is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Tripartite Review (TPR) at least once every twelve months by representatives of the Government, the executing agency and UNDP. The Project Steering Committee forms the basis of the TPR, which is chaired jointly by the donor and Government. The first such meeting will be held within the first twelve months of the start of full implementation. MOARD/The Project Coordinator will prepare an Annual Project Report (APR) and together with other documents of mainstreams (including standard agenda) to be ready two weeks prior to the TPR. APR/PIR will be used as one of the basic documents for discussions in the TPR meeting. The Project Coordinator presents the APR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants.

***(b) Terminal Tripartite Review (TTR)***

48. The terminal tripartite review is held in the last month of project operations. MOARD/ will be responsible for preparing the Terminal Project Report. It shall be prepared in draft sufficiently in advance to allow review and technical clearance at least two months prior to the terminal tripartite review. The Terminal Report will serve as the basis for discussions in the TTR. The TTR considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its immediate objectives and contributed to the broader environmental objective, and decides whether any actions are still necessary.



**(c) Project Implementation Review (PIR (see above)**

49. The PIR is a major tool for monitoring the GEF portfolio and extracting lessons. The PIR has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. The PIR is mandatory for all GEF projects that have been under implementation for at least one year at the time that the exercise is conducted. A project becomes legal and implementation activities can begin when all parties have signed the project document. The PIR questionnaire is sent to the UNDP country office, usually around the beginning of June. It is the responsibility of the Project Coordinator to complete the PIR questionnaire, together with the UNDP Country Office, and to forward the PIR to UNDP-GEF Headquarters.

**(d) Final Evaluation**

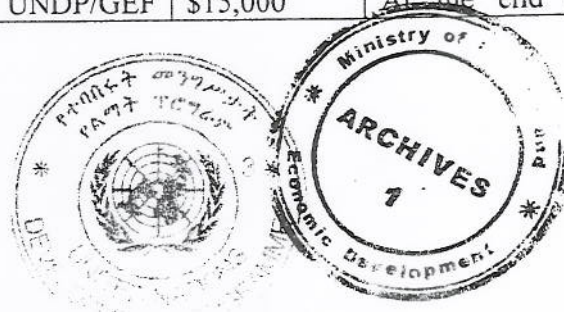
50. An independent Final Evaluation will take place three months prior to the terminal tripartite review meeting. The final evaluation will look at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The organization, terms of reference and timing of the final evaluation will be decided after consultation between the parties to the project document.

**(e) Regular Monitoring and Evaluation**

51. Monitoring and evaluation will have several objectives: accountability, informed decision making and learning. At the beginning of the project, the Logical Framework Analysis will be updated and a monitoring and evaluation framework will be prepared on the basis of this analysis. The project will regularly monitor the activities, the deliverables from these activities, the changes occurring because of the project (outputs) and the risks and assumptions underlying the project. Yearly reviews will be conducted, lessons learned extracted and analyzed and project activities adapted on the basis of the results of the review.

**Indicative Management - Plan and Budget for Monitoring and Evaluation**

Type of M&E activity	Lead responsible party in bold	Budget	Time frame
Inception Report	MOARD	In reporting lines	At the beginning project implementation
APR/PIR	MoARD, NMA, MOFED, UNDP Country Office, PMU, UNDP / GEF Task Manager, and Target Groups	None	Every year, at latest June/July of that year
TPR and TPR report	MoARD, NMA, MOFED, UNDP Country Office, PMU, UNDP / GEF Task Manager, and Target Groups (Secretariat in consultation with the Chair)	None	Every year, upon receipt of APR
Progress reports	MOARD	None	To be determined Executing Agency Quarterly
Final External	MoARD/PMU, UNDP/GEF HQ, UNDP/GEF	\$15,000	At the end of project



Evaluation	Task Manager, UNDP Country Office, NMA		implementation, and Ex-post: following project completion
Terminal Report	MoARD, MOFED, UNDP Country Office, UNDP/GEF Task Manager, PMU and NMA	In reporting lines	At least one month before the end of the project
Audit	MoARD, NMA, MOFED, UNDP Country Office (NEX), PMU	\$6,000	At the mid-point of project implementation and end of project
Lessons learnt/annual work planning	MoARD, MOFED, UNDP/GEF, GEF SEC, PMU, NMA, Drylands Development Centre, Target audiences.	Average \$2000	Yearly
Project Steering Committee	MOARD/Project Manager, MOFED, , NMA, UNDP/GEF, UNDP CO	Average \$3,000 per meeting	Yearly

### Audit Requirements

52. All funds disbursed through National Execution modalities are subject to audit procedures. Audit procedures are governed by NEX procedures.

### PART V: LEGAL CONTEXT

53. This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of Ethiopia and the United Nations Development Program, signed by the parties on [date]. The host country-implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement.

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

- a) Revision of, or addition to, any of the annexes to the Project Document;
- b) Revisions, which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document<sup>34</sup>. MoARD will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor agreed by the Government.



**SECTION II : STRATEGIC RESULTS FRAMEWORK**

**PART I : Logical Framework Analysis**

See Annex 1 of the approved MSP in Section IV of the PRODOC

**Table 1: Objectively Verifiable Impact Indicators**

See approved MSP proposal in Section IV of the PRODOC.



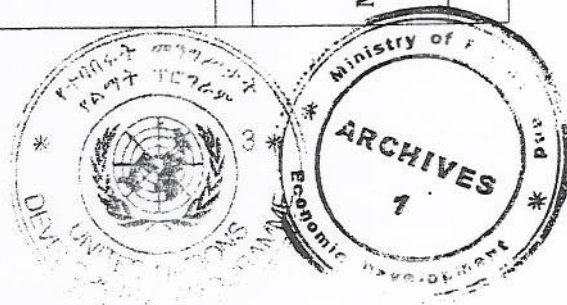
**SECTION III: Total Budget and Work Plan**

**Award ID:** Tbd  
**Award Title:** PIMS3787 Ethiopia Project Title :- Coping with Drought and Climate Change  
**Business Unit:** Tbd  
**Implementing Partner (Executing Agency)** Government of Ethiopia (National Meteorological Agency)

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount	Amount	Amount	Amount	Amount	Total (USD)	Budget notes
						Year 1 (USD)	Year 2 (USD)	Year 3 (USD)	Year 4 (USD)	Year 5 (USD)		
<b>OUTCOME 1:</b>  Livelihood strategies and resilience of vulnerable farmers in the selected pilot sites improved and sustained to cope with drought and climate change	MOARD	62180	SCCF	71200	International Consultants	5000	0	5000	5000		15000	1
				71300	Local Consultants	10000	10000	10000	5000	40000	2	
				71400	Contractual services	68000	100000	75000	50000	100000	393000	3
				<del>71500</del> <del>63400</del>	Inception workshop	1000					1000	4
				71600	Travel	10000	10000	10000	10000	10000	50000	5
					sub-total GEF	94000	120000	100000	70000	115000	499000	
<b>OUTCOME 2:</b>  Enhanced use of Early Warning information in agricultural systems at the selected pilot sites	MOARD	62180	SCCF	71200	International Consultants		5000		5000		10000	6
				71300	Local Consultants		5000	5000		7500	17500	7
				71400	Contractual services	25000	25000	25000	25000		100000	8
					sub-total GEF	25000	35000	30000	30000	7500	127500	



<b>OUTCOME 3:</b> Drought mitigation and preparedness activities integrated across sectors and programmes at various levels of society in the pilot sites	<b>MOARD</b>	<b>62180</b>	<b>SCCF</b>	71200	International consultant	5000	5000	5000	5000	15000	9
				63400	Training	7500	7500	7500	7500	30000	10
				71300	Local Consultant	7500	7500	7500	22500	11	
				71600	Travel	1000	1000	1000	4000	12	
					<b>sub-total GEF</b>	<b>1000</b>	<b>21000</b>	<b>21000</b>	<b>71500</b>		
<b>OUTCOME 4</b> Farmers/Pastoralists outside the pilot sites replicate successful approaches to cope with drought	<b>MOARD</b>	<b>GEF</b>	<b>SCCF</b>	71200	International consultant	2500	2500	2500	10000	13	
				71300	Local consultant	5000	5000	5000	20000	14	
				63400	Contractual services	5000	30000	31000	96000	15	
					<b>sub-total GEF</b>	<b>12500</b>	<b>37500</b>	<b>36000</b>	<b>126000</b>		
					<b>Project Total</b>	<b>157500</b>	<b>264500</b>	<b>162000</b>	<b>995000</b>		
<b>OUTCOME 5:</b> MONITORING, LEARNING, ADAPTIVE FEEDBACK & EVALUATION	<b>NEX</b>	<b>62180</b>	<b>SCCF</b>	71200	International Inter. Consultants	10000	10000	10000	40000	16	
				71300	Local Consultants	10000	10000	10000	40000	17	
					Contractual services	10000	10000	10000	30000	18	
					<b>sub-total GEF</b>	<b>20000</b>	<b>30000</b>	<b>30000</b>	<b>110000</b>		
					<b>Project Total</b>	<b>157500</b>	<b>264500</b>	<b>162000</b>	<b>995000</b>		
<b>Project MANAGEMENT UNIT</b>	<b>MOARD</b>	<b>62180</b>	<b>SCCF</b>	71200	International Consultants					19	
				71300	Local Consultants	5000	5000	5000	25000	20	
				71600	Travel	16000	10000	10000	36000		
					<b>sub-total</b>	<b>5000</b>	<b>21000</b>	<b>5000</b>	<b>61000</b>		
	<b>Project Total</b>	<b>157500</b>	<b>264500</b>	<b>162000</b>	<b>995000</b>						



Summary of Funds: [1]	Year 1	Year 2	Year 3	Year 4	Year 5	Total
GEF	89500	264500	233500	162000	177500	995000
NMA (in kind)	50000	50000	50000	50000	50000	250000
MoFED (in-kind)	60000	50000	50000	40000	50000	250000
MoFED (in-kind)	40000	50000	50000	60000	50000	250000
WFP in-kind	116667	500000	300000	100000	100000	1116667
<b>TOTAL</b>	<b>356167</b>	<b>914500</b>	<b>683500</b>	<b>412000</b>	<b>427500</b>	<b>2793667</b>

[1] Summary table should include all financing of all kinds: GEF financing, co financing, cash, in-kind, etc. etc





## Explanation for Budget Estimation for each Outcome.

### Outcome 1:

**Budget Note 1.** This estimate is based on a rate of \$300 per day for 50 days (over 4 years) to develop technical guidance in support of outcome 1. The draft terms of reference is attached and will be refined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 2.** This estimate is based on a rate of \$200 per day for 40 days each year to support the achievement of outcome 1. The draft terms of reference is attached and will be refined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 3.** This estimate is made for contractual services in lieu of pilot demonstration activities as outlined in the approved MSP. Procurement will follow established UNDP procedures.

**Budget Note 4.** This estimate is for the cost of conducting an inception meeting including covering miscellaneous organizational costs.

**Budget Note 5.** This estimate is based on rate of US\$0.50 per mile for 25000 km of all project related travel within the country related to outcome 1 and 2.

### Outcome 2:

**Budget Note 6.** It is estimated at a rate of \$ 500 per day for 20 days of support in lieu of outcome 1. The draft terms of reference is attached and will be refined by the project manager and approved by the Steering Committee prior to contracting. Key tasks envisaged include establishing the design of an effective drought information system, and building capacity of relevant stakeholders to use environmental information system.

**Budget Note 7:** This is estimated at a rate of \$200 for 87.5 days for local consultant(s) support over the project lifetime in lieu of outcome 2. This amount includes the cost of preparing and publishing relevant materials in support of outcome 2.

**Budget Note 8:** This amount is set aside for contractual services required to set up a functioning EWS system including the measures to promote and build capacity to use the system in planning processes (at least in the pilot sites). Detailed terms of reference must be outlined by the project manager and approved by the Steering Committee prior to contracting.

### Outcome 3:

**Budget Note 9:** It is estimated for 30 days at a rate of \$ 500 per day in order to develop tools and methodologies for mainstreaming of Climate Change into development plans. Draft terms of reference is attached and will be refined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 10:** This reflects the amount of money available each year to cover the costs of training (including organization costs for technical support) in lieu of capacity development for the use of EWS in planning purposes.



**Budget Note 11:** The cost of national consultants to support the achievement of outcome 3 is estimated for 75 days at a rate of \$300 per day. Key tasks include developing tools and methodologies for mainstreaming of Climate Change into development plans so that to develop mitigation and preparedness Plan. Detailed terms of reference must be outlined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 12.** This estimate is based on rate of US\$0.50 per mile for 8000 km (in toto) of all project related travel within the country in support of outcome 3.

**Outcome 4:**

**Budget Note 13.** At a rate of US\$500 per day for 20 days, an international consultant will provide technical guidance in lieu of outcome 4. Key tasks include developing strategy for replication of lessons learned. Draft terms of reference is attached. However, more detailed terms of reference for this input must be outlined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 14.** At a rate of US\$200 per day for 100 days, a national consultant(s), under the guidance of an international consultant, will provide technical guidance in lieu of achieving outcome 4. Key tasks include supporting the development of a strategy for replication of lessons learned. Draft terms of reference is attached. However, more detailed terms of reference for this input must be outlined by the project manager and approved by the Steering Committee prior to contracting.

**Budget Note 15.** This amount is available for contractual services in lieu of outcome 4. Funds will be used to implement adaptation activities, based on the lessons learned in the pilot region, in new areas. The funds will be used strategically to leverage additional funding. The Steering Committee must approve the disbursement of funds based on a work plan and recommendation by the project manager.

**Outcome 5:**

**Budget Note 16-18:** detailed approximate costs of M&E is outlined in the approved MSP (annex 5: M&E Plan). The funds will be used for M&E activities on adaptation as well as standard UNDP requirements. Activities will be conducted by an international consultant and national consultants under the guidance of the RTA Adaptation (based in Pretoria) and using methodologies approved by UNDP HQ. Detailed terms of reference for this input must be outlined by the project manager and approved by the Steering Committee prior to contracting. International consultants will be remunerated at the rate of US\$500 per day (80 days over the project lifetime) and national consultants at a rate of US\$200 per day (for 200 days over the project lifetime). Any other contractual obligations with regards to M&E will be taken from the line item titled "contractual services" and following the issuance of detailed terms of reference prepared by the project manager and approved by the Steering Committee.

**Budget Note 19.** At a rate of US\$200 per day, this will cover the cost of 125 days of purely management related activities by a national consultant. This will include organizational duties, issuance of terms of reference and other administrative functions related to the effective implementation of the project.

**Budget Note 20.** This will cover the costs of travel within Ethiopia related to project management only. Costing is based on an estimate of US\$0.5 per kilometer of travel.

