United Nations Development Programme

Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in flood prone areas

The Initiation Plan

Brief Description

This preparatory assistance grant has as its main objective the completion of necessary technical feasibility and needs assessments and project scoping and definition work needed to formulate a UNDP/UNEP/GEF project document and ancillary documentation required by the GEF for CEO Endorsement. The said project is titled 'Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in flood prone areas'.

SIGNATURE PAGE

Country: Rwanda

Expected Output(s)/indicator(s): UNDP/UNEP/GEF project documents and the Request for CEO Endorsement to finance the proposed full size Project, including:

1. Relevant baseline development plans and investment programmes of the public and private sector in Rwanda that influence the development of the Early Warning Systems and the implementation of the Integrated Catchment Management in Rwanda summarized
2. Existing policy and regulatory framework relevant for the development of the Early Warning Systems and the implementation of the Integrated Catchment Management reviewed and summarized
3. Past project related activities funded by governments (both national and sub-national), donors and private sector in adaptation, early warning system and integrated catchment management in Rwanda
4. An updated report on the co-operation and co-financing possibilities in the frame of the envisaged LDCF project reviewed, analyzed and summarized, and a Rwanda adaptation programme framework funded mainly by LDCF and Africa Adaptation Programme developed.
5. Co-financing letters from partners secured.
6. Supporting reports (climate risk assessments, economic analysis on costs/benefits of impacts, technical feasibility analysis of various adaptation options, economic assessment of adaptation options, and capacity needs assessment) to justify the proposed project interventions and to leverage financing for the proposal activities (this may include pre-feasibility studies for pilots, draft business plans, etc.) provided
7. Project Logical Framework and M&E framework that capture the indicators and verification strategies prepared
   (See Section D in the attached PPG submitted to GEF for more details)

Project Title:	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in flood prone areas
Project ID (Atlas):	00069648
Project ID (UNDP PIMS):	4109
Project Duration:	9 months
Management Arrangement:	UNDP

Total Budget:	US$ 250,000
Allocated Resources:	
• GEF (PPG):	US$150,000
• Government (in-kind):	US$100,000

Agreed by:

On behalf of:	Signature	Date	Name/Title
UNDP			Aurélien A.Agbénonci Resident Representative UNDP Rwanda

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Section I

Part I

SITUATION ANALYSIS

See *Part II Section A: State the issue, how the project seeks to address it and the expected adaptation benefits to be delivered* in the attached Project Identification Form (PIF) submitted to GEF.

Further, Rwanda has been selected in January 2009 as a pilot country for the Africa Adaptation Program to implement national demonstration activities.

Part II

STRATEGY

See *Part II Section B: Describe the consistency of the project with national priorities/plans, Section C: Describe the consistency of the project with LDCF/SCCF eligibility criteria and priorities, and Section D: Outline the coordination with other related initiative* in the attached PIF submitted to GEF.

UNDP is responsible for the implementation of the preparatory activities. Direct execution modality will be applied during the preparatory phase. UNEP, co-implementing agency for the proposed full-sized project, will be closely consulted throughout the preparatory phase for their technical inputs as well as for UNEP project document approval. UNEP will be represented in the project steering committee for the preparatory phase.

Rwanda has been selected as a pilot country for the UNDP Africa Adaptation Program for national demonstration and its national project document development phase coincides with the preparatory phase for the LDCF. To ensure the maximum synergy, impacts and cost effectiveness during the implementation of the two adaptation projects, the two projects will be developed in an integrated manner. The proposed strategy is to develop a Rwanda adaptation programme framework that coordinates both projects (and any other possible adaptation projects in the future). It is envisioned that the framework will be governed by one steering committee and its implementation will be monitored by one integrated logframe. The details for the programme framework development and its implementation will be developed during the preparatory phase.

PROJECT DESCRIPTION

See *Section C: Description of Proposed Preparation Activities* of the attached Request for Project Preparation Grant (PPG) submitted to GEF.

PROJECT OBJECTIVES

The overall Objective of the preparatory phase is to complete necessary technical feasibility and needs assessments and project scoping and definition work needed to formulate UNDP/UNEP/GEF project documents and ancillary documentation required by the GEF for CEO endorsement.

Output Indicators:

See *Section D: Outputs from Preparation Activities* in the attached PPG submitted to GEF.

Part III

MANAGEMENT ARRANGEMENTS

Project Implementation will be undertaken through the United Nations Development Programme Country Office for Rwanda.

A Stakeholder Steering Committee consisted of Rwanda Environment Management Authority (REMA), UNEP, UNDP and other relevant institutions will oversee the running of the preparatory phase and take any policy decisions (in line with UN Rules and Regulations) as well as monitoring progress and reviewing delivery and budget issues.

The Environment Unit at UNDP Rwanda will take responsibility for the day-to-day project management. The consultant(s) will be recruited by UNDP Rwanda to conduct necessary activities.

The GEF administrative and management inputs will be closely coordinated with REMA, UNDP Regional office, UNEP and other project development partners.

The consultant(s) will be recruited to carry out the preparation activities. Terms of References will be developed based on the Annex A of the attached PPG document.

Part IV

MONITORING AND EVALUATION

Standard UNDP and UNEP reporting, monitoring and evaluation procedures will apply to this project and will be elaborated in the full Project Document to be developed during the preparatory phase.

Part V

LEGAL CONTEXT

The activities specified in the Initiation Plan will be implemented in accordance with the operational and financial rules and regulations of UNDP. In particular, Sub-section 2.5 under the Defining a Project section of the *UNDP User Guide 2.5* applies to this Initiation Plan as specified below.

> 2.5 Initiation Plan
>
> The Initiation Plan outlines activities to be completed and budget required prior to the full implementation of the project (i.e. during the Initiating a Project process). Such activities could include for instance the recruitment of consultant(s) to finalise the project documentation, the undertaking of data analysis or the start-up of pilot activities. Considering that the Initiation Plan is directly executed by the UNDP Country Office, the UNDP RR may approve and sign the Initiation Plan, which serves as authorisation to incur expenditures required to cover only these preliminary activities up to the start of the project.
>
> Project Expenditures Required for the "Initiating a Project" Process
>
> The UNDP Resident Representative is authorised to facilitate the funding of activities as documented in the Initiation Plan that may be required during the Initiating a Project process.

DURATION

The estimated project duration will be seven (7) months starting April 2009 and ending October 2009.

Section II

BUDGET

ANNEX 1 – ATLAS BUDGET AND BUDGET NOTES

Award ID: 00056751

Award Title: PIMS 4109 PPG: Rwanda Climate Change Adaptation
Project ID: 00069648
Project Title: PIMS 4109 PPG: Rwanda Climate Change Adaptation

Project Outcomes /Atlas Activity	Responsible Party	Source of Funds	Atlas Budget Code	Atlas Budget Description	$ Year 1	Total Amount (USD)	See Budget Note:
OUTCOME 1: UNDP/GEF PROJECT DOCUMENT	**UNDP**	**GEF**	71200	International Technical Consultants	$51,000	$51,000	1
			71300	Local Consultants	$90,000	$90,000	1
			71600	Travel	$2,000	$2,000	1
			74500	Miscellaneous	$1,000	$1,000	1
			72100	Contractual Services-Companies	$6,000	$6,000	1
				sub-total	**$150,000**	**$150,000**	
			Total Outcome 1		**$150,000**	**$150,000**	

Summary of Funds

Funding Entity	2009	TOTAL
UNDP/GEF	$150,000	$150,000
Government of Rwanda (REMA) (in-kind)	$100,000	$100,000
TOTAL	**$250,000**	**$250,000**

NOTES TO ATLAS BUDGET LINES (ABOVE)

Budget Note	Description of Services and/or Expenditure
1	See *Annex A: Consultants Financed by the Project Preparation Grant (PPG)* of the attached PPG submitted to GEF

Attachment 1: Project Identification From (PIF)

PROJECT IDENTIFICATION FORM (PIF)
PROJECT TYPE: MEDIUM SIZED PROJECT
THE LEAST DEVELOPED COUNTRIES FUND [1]

Submission date: 22 October 2008

GEFSEC PROJECT ID[2]**:**
GEF AGENCY PROJECT ID: 4109 (UNDP PIMS)/ UNEP ID TBD
COUNTRY (IES): Rwanda

PROJECT TITLE: Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in flood prone areas
GEF AGENCY (IES): UNEP/UNDP
OTHER EXECUTING PARTNER(S): MINISTRY OF NATURAL RESOURCES
GEF FOCAL AREA: LDCF

INDICATIVE CALENDAR	
Milestones	**Expected Dates**
Work Program (for LDCF FSP)	Jan 2009
CEO Endorsement/Approval	Oct 2009
GEF Agency Approval	Dec 2009
Implementation Start	Dec 2010
Mid-term Review (if planned)	Feb 2012
Implementation Completion	Dec 2013

A. PROJECT FRAMEWORK (Expand the table as necessary)

Project Objective: The overall objective of this project is to reduce the vulnerability of the Gishwati ecosystems and its associated Nile-Congo crest watersheds, and the people that derive their livelihoods from it, to increased floods and droughts due to climate change.

Project Components	Indicate whether Investment, TA, or STA**	Expected Outcomes	Expected Outputs	Indicative LDCF/SCCF Financing*		Indicative Co-financing*		Total ($)
				($)	% (by column)	($)	%	
Climate Risk Assessment and Forecasting	STA/TA	*Increased institutional capacity for climate change early warnings*	Enhanced early warning system which allows for climate change predictions. System in place to integrate climate change risk assessment and socio-economic parameters such as impacts on livelihoods and economic activities. Data coordination network is established through inter-agency coordination mechanism for hydro-meteorological information. Data is currently managed across departments without a central coordination mechanism.	600,000	40	900,000	60	1,500,000
Climate change adaptation planning and response strategies	STA/TA	*Increased institutional and community capacity for responding to climate change risks through preventative planning*	Disaster response plans are prepared and capacity to implement them is developed Science/Policy exchange forum is established through interchange platform between hydro-climatic network and policy makers	300,000	43	400,000	57	700,000

[1] This template is for the use of LDCF projects and SCCF Adaptation projects only. For other SCCF projects under Technology Transfer, Sectors and Economic Diversification windows, other templates will be provided.
[2] Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

			Policy briefs and analysis for planners, policy makers and field actors to guide them in making decisions on adaptation strategies. Particularly related to water management and agricultural practices.					
Demonstrations of adaptation practices in the Nile-Congo crest watersheds and Gishwati ecosystem	TA	*Reduction in floods and droughts and their adverse impacts through increased environmental resilience against climate shocks in the Nile-Congo crest watersheds(Nyabarongo and Sebeya rivers) and Gishwati ecosystem*	Land use management practices adjusted for anticipated climate change risks Capacity development program for communities formulated based a CC adaptation capacity needs assessment conducted during the PPG. Communities trained according to the capacity development program. Communities and policy makers sensitized with CC adaptation benefits to be attained through enhanced catchment management practices. Results of demonstrations distilled as experience notes for dissemination to policy makers. Adaptation policy adopted for the land use planning at the targeted area.	1,650,000	53	1,450,000	47	3,100,000
Knowledge Management, Public Awareness and dissemination of lessons learned and best practices	TA	*Increased knowledge of good practices to reduce vulnerability to climate change (Sustainability and Replicability)*	Development and dissemination of lessons learned for policy makers and for communities through out the project. Training plan developed and implemented for relevant stakeholders for uptake of lessons learned and engagement in the various project components. Platform for national learning and sustainability established	250,000	51	200,000	49	450,000
Mid Term and Final Evaluation				50,000	100			50,000
Project Management				310,000	47	350,000	53	660,000
				3,160,000	49	3,300,000	51	6,460,000

* List the $ by project components. The percentage is the share of LDCF/SCCF and Co-financing respectively to the total amount for the component.

** TA = Technical Assistance; STA = Scientific & technical analysis.

B. INDICATIVE FINANCING PLAN SUMMARY FOR THE PROJECT ($)

	Project Preparation *	Project	Agency Fee	Total
LDCF Grant	150,000	3,160,000	331,000	3,641,000
Co-financing	100,000	3,300,000		3,400,000
Total	250,000	6,460,000	326,000	7,041,000

* Please include the previously approved PDFs and planned request for new PPG, if any. Indicate the amount already approved as footnote here and if the GEF funding is from GEF-3.

C. **INDICATIVE CO-FINANCING FOR THE PROJECT** (including project preparation*) **BY SOURCE AND BY NAME** (in parenthesis) if available, **($)**

Sources of Co-financing	Type of Co-financing	Amount
Project Government Contribution (Departments Meteorology, Water, Environment, Land, Forestry)	Internal budget 2008 – 2011 and in kind(300,000 Cash & 200,000 in Kind) =	1,500,000
GEF Agency(ies) (UNDP,UNEP)	Grant, in-kind	450,000
Bilateral Aid Agency(ies)	TBC	700,000
Multilateral Agency(ies)	TBC	250,000
Private Sector		
NGO	In-kind	500,000
Total co-financing		3,400,000

* Indicate the amount of project preparation included in the columns.

D. TABLE FOR MULTI AGENCY PROJECTS (IN$)

Agency Name	Country name	Project Preparation	Project	Agency Fee	Total
UNEP		0	1,210,000	121,000	1,331,000
UNDP		150,000	1,950,000	210,000	2,310,000
Total LDCF Resources		150,000	3,160,000	326,000	3,641,000

PART II: PROJECT JUSTIFICATION

A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED ADAPTATION BENEFITS TO BE DELIVERED:

The project goal is to reduce risks posed by climate change on economic development of Rwanda; thus contributing to the poverty reduction efforts of the Government of Rwanda to achieve its national development vision (Vision 2020) as well as Millennium Development Goals. The overall objective of this project is to reduce the vulnerability of the Gishwati ecosystem and its associated Nile-Congo watersheds, and the people that derive their livelihoods from it, to increased floods and droughts due to climate change. The project proposes to do this by promoting and demonstrating adaptation adjustments to Integrated Watershed Management practices and, by increasing the capacity to detect climate patterns and to develop responses to them to minimize the risk of adverse impacts over the short and longer term.

The project will aim to coordinate public and private stakeholders in the management of the Gishwati ecosystem in order to ensure that vulnerability to climate change is reduced. This will be done through demonstrations of climate proofing of integrated watershed management practices in this vulnerable area. (Component 3) At a national level, the project will enhance early warning systems to enable forecasts of climate changes and their socio-economic impacts (Component 1), and response capacities to increased climate variability (Component 2). The public engagement and institutional learning promoted through Component 4 will increase sustainability and replication of good practices.

This project seeks to implement the top two priorities identified in Rwanda's NAPA. Priority number one outlines the need for "Conservation and protection of lands against erosion and floods at district level in vulnerable regions" and priority number two calls for "Mastering hydro meteorological information and early warning systems for control of climate change hazards".

THE PROBLEM: Rwanda is characterized by a mountainous landscape, which is recognized by the UN Framework Convention on Climate Change and the Intergovernmental Panel on Climate Change (IPCC) as

ecosystems which are particularly vulnerable to climate change. Running along the country in a north-south axis is a mountain chain that forms part of the divide between the Nile and Congo watersheds, two of Africa's largest.

The Congo basin is made up of short waterways leading to Lake Kivu. The Nile basin covers almost all the country. Most of the rivers start from the slopes of the crest, known as the Gishwati ecosystem. The ecology of this ecosystem is very dynamic and complex and the lakes and rivers constantly change their size and shape according to rainfall and river flow. Rains can be very heavy, sometimes causing violent floods.

The proposed region for the project are vulnerable regions within the crest area of Nile-Congo basins, also categorized as the Gishwati ecosystem, which has been identified through the NAPA as one of the most vulnerable to climate change and is already affected by increased floods and landslides. In particular, the project will focus on the upstream area of Nyabarongo River and Lake Kivu (crest Congo-Nile) to reduce the causes of floods. This area was a natural forest before being occupied by returned refugees from Congo after the 1994 war. The population here is acutely at risk from floods and landslides and is also amongst the poorest in the country.

The region has been experiencing irregularity and unpredictability of rainfall. For example, the longest and most severe rainfall shortage on record occurred between 1991 and 2000 and this decennial drought was followed by two years of unusually excessive rains. The resulting floods (soon after a period of droughts) have led to significant economic, environmental, and social damage (e.g. population displacement, etc).

The analysis of climate data undertaken during the NAPA preparation, which is based on the initial National Communication published in September 2005, shows that the period between 1991 and 2000 has been the driest since 1961 and has shown a marked deficit in 1992, 1993, 1996, 1999 and 2000. At the same time, rainfall excesses were highlighted in 1998 and 2001 resulting in cyclic droughts and floods. The analysis of rainy seasons shows a progressive tendency for short rainy seasons at the same time of decreases in agricultural production. Variations of standardized absolute maximum temperatures in Kigali are alarming and have steadily increased from 32.7 to 35.4 degrees Celsius between 1983 and 2005. The capacity to closely monitor and predict the climate changes in this way at a more localized level is deteriorated and the project seeks to build this capacity. This capacity is essential to predicting and responding to increased climate variability. Further, coupling data on environmental parameters such as rainfall and temperature, with socio-economic data is needed in order to better understand the impacts that such changes will have on the population. This project also seeks to address this through components 1 and 2 above.

Rainfall is particularly important as rain-fed agriculture dominates food and cash crop production in Rwanda and many of the poorest and most vulnerable communities depend on it for their livelihoods. However, like in all rain-fed systems, climate (rainfall) variability both within and between seasons is a fundamental factor that determines production uncertainty from season to season. It is here that climate variability and climate extremes have their most profound impacts on production and people's livelihood. The resultant impact of poverty reduction goals, food security and its direct relationship to observed climate changes is the reason for which the NAPA has ranked this project as urgently requiring attention. Component 3 of this project proposes to support the implementation of adaptation measures on the ground to manage the increased unpredictability of climate variability in severely affected areas of the country which are predicted to worsen.

ADAPTATION BENEFITS: The project will contribute to food security, positively affecting MDG 1; better health outcomes (through better nutritional status) positively affecting MDGs 4 and 6; and better environmental sustainability, positively affecting MDG 7

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS:

The proposed project is in line with the country's priorities and plans communicated through its Initial National Communication to UNFCCC (6 September 2005) and National Adaptation Programme of Action (NAPA, May

2007). In particular, the project implements priorities 1 and 2 as identified in Rwanda's NAPA: Integrated Water Resource Management and Information systems for early warning and rapid intervention, respectively.

The project fits well within other national strategies. In addressing the challenges of economic development and poverty reduction, Rwanda has developed its national development vision (Vision 2020), Economic Development and Poverty Reduction Strategy and various sectoral policies and strategies (Land, environment, water, forestry, agriculture, etc) that have environment components well mainstreamed.

Vision 2020 represents an ambitious plan to raise the people of Rwanda out of poverty and transform the country into middle income economy. The protection and management of the environment is one of the pillars of Vision 2020. The Government of Rwanda envisages that by 2020, it would have built a nation in which pressures on natural resources, particularly land, water, biomass and biodiversity has been significantly reduced and the process of environmental degradation and pollution would have been reversed. Rwanda's National "Vision 2020" specifically targets "increase of protection against erosion rate from 20% to 80% in 2010 and 90% in 2020.

The national forestry policy has highlighted the reforestation of non-agricultural spaces as a priority, such as the part of the project area which is natural forest that needs to be rehabilitated after it has been converted into agricultural land. The national strategy and action plan to combat desertification (NAP) also identifies anti-erosion actions and integrated watershed management as priorities. This project will therefore also contribute to the implementation of the UN Convention to Combat Desertification in Rwanda. Synergies between Conventions are criteria promoted in the NAPA guidelines.

In addition, the project will contribute to enhance general awareness and knowledge on climate change related issues in Rwanda, and to strengthen the dialogue, information exchange and cooperation among all the relevant stakeholders responsible for land, water, forestry, agriculture and planning.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH LDCF/SCCF ELIGIBILITY CRITERIA AND PRIORITIES:

The project conforms to the three principles of the LDCF: a) Country-drivenness: the project is in line with the Vision 2020, Economic Development and Poverty Reduction Strategy and various sectoral policies and strategies (Land, environment, water, forestry, agriculture, etc.) as described in the above section; b) implementing NAPA priorities: the Republic of Rwanda has finished its report on National Adaptation Programmes of Action to climate change, "NAPA", in conformity with the guidelines prepared by the Least Developed Countries Groups of Experts (LEG) and adopted by the November 2001 Assembly of the Conference of Parties to the United Nations Framework Convention on Climate Change (Decision 28/CP7). This project seeks to implement the priorities identified as urgent and immediate needs; and c) supporting a learning-by-doing approach: the project will use the pilot projects to demonstrate better catchment management at the selected sites in Rwanda by altering/adapting the agricultural practice with a view to possible replication elsewhere in the cuontry as well as informing national development plans and policies. This will include generating evidence on the cost effectiveness of adaptation options to make the case for policy and budgetary adjustment. The project is designed to complement other ongoing and planned projects and programmes without duplicating them.

D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

The project is harmonized with One UN pilot initiative in Rwanda, which brings the UN agencies together, and covers the following broad outputs under UNDAF Result 4: 'Management of environment, natural resources and land is improved in a sustainable way'

Output 1.1: Policies, regulations, guidelines and standards for environment protection developed and implemented at central and decentralized levels;

Output 1.2: Information management system for natural resources developed and operational;

Output 1.3: Capacity for coordination of Rwanda Environment Management Authority (REMA) and the Ministry of Natural Resources for environment management and ecosystem conservation strengthened;

Output 1.4: Capacity for coordination of Department of Meteorology/Ministry of Infrastructures and Ministry of Natural resources in hydro-meteorological information management system.

All of these outputs are jointly supported by UNEP and UNDP, amongst other agencies, and this project would become another flagship case of achieving synergy effects by One UN.

The project can also identify synergies the recently GEF-approved project entitled Building Capacity for Sustainable Land Use and Management in Rwanda. Further, a UNEP managed GEF SPA[3] project is currently underway in Rwanda entitled "Integrating Vulnerability and Adaptation into National Development Policy and Planning in Southern and Eastern Africa". Experiences from this project will also provide a useful base foe component four of the NAPA follow-up project to build on. Outputs of these projects can reinforce each other to establish an effective land management system against land degradation and climate change impacts.

Furthermore, during the Project Preparation Phase (PPG), potential for possible coordination with other initiatives funded by the government, other development partners or private sectors will be explored to maximize the possible development impacts and effectiveness of the project and other initiatives.

E. **DESCRIBE ADDITIONAL COST REASONING:**

Without the LDCF intervention, the impacts of increasingly erratic rainfall patterns will be beyond the existing capacity of the social and public systems in place to respond. The project will aim to coordinate public and private stakeholders in the management of the Gishwati ecosystem in order to ensure that vulnerability to climate change is reduced. This will be done through demonstrations of climate proofing of integrated watershed management practices in this vulnerable area. (Component 3) At a national level, the project will enhance early warning systems to enable forecasts of climate changes and their socio-economic impacts (Component 1), and response capacities to increased climate variability (Component 2). The public engagement and institutional learning promoted through Component 4 will increase sustainability and replication of good practices.

This will be achieved through a combination of four inter-related components as described below. Concrete activities under each component will be finalized through further consultation with various stakeholders during the preparatory phase with consideration on a range of climate change scenarios (and associated economic impacts).

Component 1. Climate Risk Assessment and Forecasting. Data and information relevant to monitoring and preventing losses from climate change are currently uncoordinated and in many cases lacking. Data sources are often collected separately and not aggregated and, socio-economic and environmental information are currently not co-related to provide an adequate representation of vulnerability. The current lack of data and data management systems presents a barrier to adequately monitoring and forecasting climate changes which is an important element to developing appropriate responses as the climate evolves.

This activity will contribute to addressing this situation by increasing coordination of data, collection of relevant data and analysis to determine, for examine, socio-economic impacts of climate changes. This component will focus on strengthening the current information infrastructure for sound scientific analysis of trends in climate change and its socio-economic impacts. This is key to promoting adaptation as it will increase the capacity of communities and institutions to adapt to increased variability. Without this element, the ability to monitor climate changes as they progress will be weakened. This project provides users with the necessary tools to better manage the unpredictable nature of the climate in recent years. This project will benefit from developments, in recent years, a range of innovative climate-based analytical tools and software have been developed and proven. These tools allow for a far greater understanding of the temporal and spatial agricultural implications of short and long-term

[3] Strategic Priority on Adaptation

climatic variability and will allow stakeholders and support agents to develop tailored and targeted strategic climate risk management strategies. The application of new knowledge and climate risk management tools for Rwanda will help in addressing the problems facing the country due to climatic changes. This has been identified as a priority action in the NAPA-Rwanda for adaptation on climate change as described among priorities of the EDPRS[4].

Component 2. Climate change adaptation planning and response strategies. The existing situation in Rwanda is one that is common to many early warning systems – an underdeveloped response mechanism to the warnings. An emphasis on bridging policy and information/science will address the longer term adaptation increment by undertaking the necessary reforms for institutional and governmental "climate-proofing". Without this project, the gap between science and policy will widen, possibly resulting in maladaptive policies and practices.

This component then focuses more specifically on developing the mechanisms to *respond* to the early warnings. The improved information (from component 1) will be provided in the appropriate formats through this component to policy makers and communities. Activities will promote the use of robust science for the formulation of adaptation strategies in the present and future, as the climate continues to shift. An early warning and response approach will be used to increase capacity to identify, predict and, most importantly, respond promptly to long term droughts and floods and also to sudden and damaging climate events which have begun to increase in recent years.

The additionality expected through this component is increased capacity for climate proofed decision making from the national to the local levels. This is a vital element to managing climate change.

Component 3. Demonstrations of adaptation practices in the Nile-Congo crest watersheds and Gishwati ecosystem. The Gishwati ecosystem is one characterized by fragile mountainous systems acutely prone to erosion and floods. The area is also characterized by intensive agricultural land use. Some traditional agricultural practices applied in the area are identified to have been causing the acceleration of soil erosion in the area. Noted soil erosion significantly contributes to the degradation of the Gishwati ecosystem. Erosion will be further accelerated through more intensive and more frequent flood and drought cycles caused by climate change, resulting in continued degradation of the Gishwati ecosystem. The degradation of the ecosystem in turn reduces the land's natural resilience and adaptive capacity to adverse impacts induced by the climate change. After erosion control and catchment management identified as priority issues in NAPA, the country is currently in the process of promoting the sustainable land management practices (such efforts include a sustainable land management project funded by GEF).

A combination of its topography, its exposure to extreme climatic events (flood and drought cycles), poor (or lack of) catchment management practices, including agricultural practices against sustainable land management principles, high dependency of its population on rain-fed agriculture and natural resources has made the ecosystem and people of the Gishwati and its associated Nile-Congo crest watersheds as one of the most vulnerable areas in the country to climate change risks. In line with the principle that LDCF resources should be directed toward those at the greatest risk and with the least capacity to cope with, adapt to, and recover from climatic stresses associated with climate change and vulnerability, the Gishwati ecosystem and its associated Nile-Congo crest watersheds have been chosen for demonstration sites. Through the restoration of the ecosystem on which the communities' economic activities heavily depend on, LDCF will assist communities in realizing their economic development potential. LDCF resources will be allocated to implement short, medium and long-term measures to reduce vulnerability to climate change risks and strengthen adaptive capacities of those who are dependent on the Gishwati ecosystem (from communities to decision makers). Short-term measures are necessary to address immediate risks that vulnerable communities at the demonstration sites currently face, and include the reversal of maladaptive practices in place and adjustments to these practices, through the application of selected agricultural techniques that contribute to improved integrated catchment management practices, aiming to restore the natural buffering capacity of the catchment. The demonstration activities will be an integral part of the capacity development program (described below) so that the implementation of the short-term measures will serve as training and capacity transfer opportunities for practitioners in the region at the appropriate level. Medium to long term measures aim to build

[4] Economic Development and Poverty Reduction Strategy

both human resources and institutional adaptive capacities for the sustainability of the project impacts at the demonstration sites, and consist of 1) the development and implementation of a capacity development program for communities to equip communities with necessary knowledge and skills to participate in improved ecosystem management practices and build their adaptive capacity and 2) the establishment of an institutional framework at a watershed level where adaptation solutions for short, medium and long-terms can be negotiated among various interested parties from different sectors (including communities, government, NGOs, CBOs and private sectors). Such institutional framework will be integrated into the regional development planning process so that recommendations from it may meaningfully influence the decision-making process of the regional development as well as land use planning. During the preparatory phase, 1) A concrete set of techniques and practices as well as potential barriers against the implementation of these techniques will be identified through consultative processes; 2) A rapid capacity needs assessment will be conducted to aid the development of the capacity development program during the project implementation; and 3) A brief governance and institutional analysis will be conducted to ensure good coordination with existing institutional structures (e.g., a catchment management committee, etc.) and a proposed institutional setting.

Component 4. Knowledge Management, Public Awareness and dissemination of lessons learned and best practices. National networks and collective knowledge on coping strategies are poor in Rwanda which renders transfer, retention and replication of good practice difficult. This is also a fairly new area of expertise where human capacity is quite low across non-environment agencies.

The project will develop local and national knowledge on adaptation. This component in particular will be designed to ensure the outputs and lessons learned from the other components – that is, improved climate information systems (Component 1), improved institutional capacity for prevention and preparedness (Component 2) and demonstration activities (Component 3) – will appropriately inform the policy decision making processes and leave impacts at the policy level. In other words, this component ensures that adaptation efforts demonstrated through this project can be sustained and replicated through greater public and private engagement, involvement and knowledge on best practices. Contributions will be made to the Adaptation Learning Mechanism (ALM). The specifics will be identified during the preparatory phase, together with the identification of anticipated lessons learned.

The incrementality and additionality of the project will be further defined during the PPG phase.

F. INDICATE THE RISK THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MITIGATION MEASURES:

The development of a system for climatic risk management depends on all the partners on the Innovation Platform being willing and able to form effective partnerships and to develop sustained collaborative agreements to work together in Integrated Natural Resources Management for Development initiatives. This will depend on the following:

Identified Risk		Mitigation Measures
All partners must be willing to share the data and knowledge that will form the essential basis of the innovation system.	M	A participatory stakeholder consultation will be undertaken during the PPG phase to identify and clarify expectations and responsibilities.
Institutional leaders must foster and Integrated Natural Resources Management for Development environment that allows for inter-institutional planning and the execution of strategies enhanced climate risk management.	M	Inter-ministerial dialogue and endorsement of the project will be sought before project commencement.
Smooth functioning of the project will require timely availability of human and financial resources to achieve the desired outputs	L	A project manager will be hired to oversee the project and responsibilities of stakeholders identified in the PPG phase A clear yearly work-plan will be approved every December by the Steering Committee. An MOU between UNEP and

		UNDP will ensure clear agency roles, fees, expectations and timelines.
Impact at the national level will depend on the Government supporting the outputs from the pilot project through wide dissemination.	L	A stakeholder engagement plan will be a specific activity to be implemented throughout the project. Pilot activities will be selected to be relevant to information needs of supporting government Ministries to ensure relevance. A policy needs assessment will be used to guide the design of the indicators.

M = Medium, L = Low

The risks indicated in the table above are preliminary at this stage. Detailed project risks will be assessed during the PPG phase.

G. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:

The project has received a high level of endorsement from the government and as such will be well supported within the context of existing programs. Further, communities and stakeholder groups in the project region and participating institutions (Ministry of Natural Resources, Ministry of Agriculture and Animal Resources, Ministry of infrastructures **(Meteorology Department)**, Ministry of Finance and Economic Planning, Ministry of Commerce and Industry, **UNR** « Université Nationale du Rwanda »(GIS and Soil Science Department), **REMA** (Rwanda Environment Management Authority) , **NAFA** (National Forestry Authority), **ISAR** (Institut des Sciences Agronomiques du Rwanda), **IRST** (Institut de recherhe, sciences et technologie), **RADA** (Rwanda Agriculture Development Authority), **RARDA** (Rwanda Animal Resources Development Authority), **Nyabihu and Rubavu Districts**) have identified this project as a priority and will be engaged in its activities. Both UNEP and UNDP have ongoing activities in the country which will be built on for this project.

Multi-criteria analysis used in NAPA process to prioritize actions according to potential for positive effects on economic development, social capital and environmental management. Cost effectiveness was one of the criteria measuring economic development. Hence, the actions proposed and prioritized are not only the most urgent and most pressing, but are also judged to be cost effective. More detailed cost effectiveness analysis will be undertaken at the project design phase, which adaptation options will be assessed for financial feasibility. Effectiveness will be assessed according to the extent to which the project a) is financial sustainable and b) reduces vulnerability to climate variability and change.

H. JUSTIFY THE COMPARATIVE ADVANTAGE OF GEF AGENCY:

UNEP and UNDP will implement this project in cooperation and will be responsible for overseeing activities along the lines of their comparative advantages. UNDP will focus on the components which are more directly linked to national developmental activities, while UNEP's responsibility will lie in the areas which are more technical and scientific in nature. Both agencies will work on the policy mainstreaming, complementing each other's comparative advantages in the mainstreaming efforts, which promote an enabling environment for the better ecosystem management and the higher resilience to the adverse effects of climate change. Therefore, it is envisioned that UNEP will lead on components 1 and 2 while UNDP will lead on components 3 without mutual exclusivity. Both agencies will work collaboratively on component 4. Details will be further developed during the PPG phase.

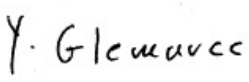
PART III: APPROVAL/ENDORSEMENT BY OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT:

(Please attach the country endorsement letter(s) or regional endorsement letter(s) with this template).

Dr. Rose Mukankomeje DG of Rwanda Environment Management Authority (REMA) and GEF Operational Focal Point	Date: *October 15, 2008*

B. AGENCY (IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the LDCF/SCCF criteria for project identification and preparation.	
 Maryam Niamir-Fuller Director, DGEF UNEP email: maryam.niamir-fuller@unep.org	Project Contact Person: Liza Leclerc Adaptation Task Manager, UNEP
Date: October 22, 2008	Tel. and email:+254 20 7623113, Liza.Leclerc@unep.org
 Yannick Glemarec Executive Coordinator UNDP/GEF	Project Contact Persons: Akiko Yamamoto Regional Portfolio Manager for International Waters UNDP Regional Coordinating Unit, Pretoria (through Bo Lim, Principal Technical Advisor, Climate Change Adaptation, UNDP)
Date: October 3, 2008	Tel. and Email: +27 12 354 8125 akiko.yamamoto@undp.org

REQUEST FOR PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

THE LEAST DEVELOPED COUNTRIES FUND FOR CLIMATE CHANGE (LDCF)[1]

Submission date: 10/22/2008
Resubmission date: February 23, 2009
Resubmission date: March 20, 2009

GEFSEC PROJECT ID[2]**:** 3838
GEF AGENCY PROJECT ID: 4109 (UNDP PIMS)/ UNEP ID TBD
COUNTRY(IES): Rwanda
PROJECT TITLE: Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas
GEF AGENCY(IES): UNEP, UNDP, (select)
OTHER EXECUTING PARTNER(S): Ministry of Natural Resources
GEF FOCAL AREA: Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	04/01/2009
Completion date of PPG	10/31/2009

B. PAST PROJECT PREPARATION ACTIVITIES ($)

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES ($)

Describe the PPG activities and justifications: The overall objective of this LDCF project is to increase and enhance adaptive capacity to address the additional risks posed by climate change to the development of Rwanda, with special focus on reducing the vulnerability of the Gishwati ecosystem in the Cogo-Nile crest watershed and of those who derive their livelihoods from it. The project proposes to do so by promoting and demonstrating Integrated Watershed Management practices, by increasing ecosystem resilience against climate shocks, by increasing the capacity to detect climate patterns and by creating the early warning and disaster preparedness systems which enable the country to disseminate information necessary to prepare for foreseen extreme events and management them better. The end product of this PPG will be a UNEP/UNDP Project Document.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
1. Technical feasibility of adaptation options	**- Clear description of baseline activities**	80,000	30,000	110,000

[1] This template is for the use of LDCF Adaptation projects only.
[2] Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

	and related sources of financing - Climate change risk assessment for the natural resources management sector - explicit specification of all adaptation activities to be financed under the LDCF and their adaptation rationale (why and how they will reduce vulnerability and/or increase adaptive capacity, including justifications in terms of economic benefits, cost effectiveness) - identification of the geographic focus of project activities, especially catchment management demonstrations - review of relevant development plans and policies for integration of climate change concerns			
2. Project scoping, institutional arrangements for implementation phase, definition of Monitoring and Evaluation Plan	- description of expected roles and responsibilities among different stakeholders (national and sub-national authorities, ministries and institutions, and UNEP and UNDP, considering comparative advantages) - description of the project management structure - Logframe and description of a Monitoring and Evaluation system including impact indicators	35,000	45,000	80,000

3. Stakeholder consultations	**- consultations with stakeholders on project design, implementation arrangements and implementation plans - stakeholder engagement plan covering the implementation of the proposed project - participatory negotiation with local communities and community mobilization around project objectives - partnerships with ongoing programmes, projects and initiatives**	15,000	32,000	47,000
4. Preparation of cost estimates and financial plan	**- cost estimates, including cost-effectiveness analyses - detailed financial plans including co-financing - official endorsement letters and guarantees of co-financing**	20,000	10,000	30,000
PPG Management Costs*		**0**	33,000	33,000
Total Project Preparation Financing		150,000	150,000	300,000

*no PPG management costs will be covered by GEF financing. No implementing Agency service costs will be charged to the PPG management budget. All such costs will be charged to the IA fee.

The preparatory phase will be jointly implemented by UNEP and UNDP. Administratively, the requested project preparatory grant will be managed entirely by UNDP[3], as indicated in the approved PIF, solely for the purpose of minimizing administrative burdens and associated transaction costs during the PPG phase.

Description of PPG activities

The project preparation activities will be divided into 4 components; namely 1) Technical Feasibility of Adaptation Options, 2) Project Scoping, Institutional arrangements for implementation phase, Definition of a Monitoring and Evaluation Plan, 3) Stakeholder Consultations, 4) Preparation of Financial Plan.

[3] To reflect the joint responsibility of IAs, it is agreed that 10 % IA fees associated with the requested PPG will be distributed as 50/50 to both UNEP and UNDP. This agreement will be reflected in the requested IA fee amount to be specified in the Request for CEO Endorsement at the time of submission.

Activities under each component are described in details in the next section. The following table shows the proposed budget allocation to each component

COMPONENT 1: Technical Feasibility of Adaptation Options

2. Project formulation will be based on step-by-step project formulation guidance in UNDP's Adaptation Policy Framework's Document and UNDP's guidelines for developing adaptation projects. The project design will follow the *adaptive capacity approach* in formulating project interventions. This will be complemented by UNEP's Millennium Ecosystem Assessment Findings which will be used as a basis for analyzing and targeting those climate drivers which result in critical ecosystem changes and services.

(a) Establishing the baseline

3. A detailed review of business-as-usual development of the natural resources management sectors (including land, water, agriculture, and meteorological departments) over the coming decade in Rwanda and in selected Districts will be undertaken. This analysis will take stock of the current state of the natural resources management sectors, and also consider anticipated changes as reflected in national sectoral plans. The analysis will provide details of the state, and associated challenges and opportunities, confronting the natural resources management sectors in Rwanda and in specific Districts.

4. The analysis will include a review of ongoing investment projects in the sectors, policies, laws, executive regulations and decrees governing natural resource watershed management, and clarify baseline (non-climate driven) development issues that is of relevance to the management of sector specific climate induced risks. The review will focus on the strengths, weaknesses, and needs of the existing system. The information collected in this exercise will contribute towards outlining a clear and detailed problem analysis (root-cause analysis) of the non-climate drivers underlying the overall problem that this project seeks to address. This will then be elaborated into identification of barrier-removal solutions that can be built into the project design.

(b) Climate change risk assessment for the natural resources management sectors

5. PPG resources will be used to undertake a detailed review of the climate change risk analysis on the natural resources management sectors in Rwanda over the coming decade. Building on the NAPA findings of climate impacts on water resources, resources will only be used to target additional analysis (as required) to identify the likely biophysical impacts on water/land resources and ecosystem services, where they are likely to occur, on what scale, the timing of expected changes and importantly, and the socio-economic implications of the anticipated changes. However, it is important to note that, while the purpose of the analysis is targeted to integrated watershed management, sectors to be analysed will cover beyond the traditional water sector in order to ensure a holistic approach to the water resources management will be taken to tackle the challenges the country faces. The ecosystem approach will be useful for this purpose. This approach is in line with the country's needs identified in NAPA, i.e., the need to strengthen the country's capacity to implement the integrated watershed management. The analysis will reflect the range of climate and socio-economic scenarios on which impacts are projected. PPG resources will be used to undertake a detailed review of the natural resources management sectors and of the system as a whole in order to guide the formulation of project interventions. In particular, resources will be used for the following:

- To initiate the institutional organisation and the installation and rehabilitation of the main hydrometeorogical stations in order to establish the early warning systems (hydrological, meteorological, and agrometeorological networks). In this regard, develop the cooperation with the East-African Community and regional and sub-regional organisations , such as Nile Basin Initiative & CPEGL, in setting up the policies related to the early warning systems in the region.

- To outline a technically sound description of how climate change will affect the likelihood and associated risks due to extreme events (determined by not only frequency and intensity of such events but capacity of land to absorb or intensify negative "shocks" from such events) as well as agricultural productivities (determined by soil productivity, water availability, land use practices, choice of crops, etc.) both nationally and in selected Districts in the selected catchments if there is no additional intervention to reduce anticipated climate risks. The analysis will be based on existing regional climate change scenarios and the likely impacts estimated and costed as they apply to priority socio-economic sectors in Rwanda;
- PPG resources will then be used to estimate the likely costs and benefits of proposed interventions (including probability of success) to mitigate climate change risks on the natural resources management sectors. Associated with this, a detailed description of the implications on existing institutional/policy/legislative framework in the sectors – including laws, regulations, responsibilities, pricing, costs, capacity needs both systemic and technological, necessary to support adaptation to anticipated climate change risks – will be made. This will be assessed in the context of national needs and in the context of the most relevant Districts to the management of the selected catchment areas.

6. Stakeholder consultations and validation with relevant governmental and non-governmental agencies, as well as other bilateral donors, will supplement the findings of the review and inform the technical feasibility and needs assessment for the proposed project. PPG funds will not be used to duplicate work already completed through the NAPA or NC.

(c) Identification of specific sites for intervention

7. Based on the information in (a) and (b) and clearly defined criteria (including vulnerability to climate change as a priority), a selection will be made of specific sites within the Congo-Nile Crest Watershed that this project will focus on for specific interventions as demonstrations. A thorough assessment of the location specific threats, root causes and barriers that this project will need to overcome will be clarified and inform the overall design of the project. A participatory stakeholder approach to site selection and to develop interventions, (including relevant national and local institutions such as Government of Rwanda and the Ministry of Natural Resources, the private sector, and representatives of civil society) will be employed and outlined in the UNEP/UNDP Project Document.

(d) Clarifying Additionality of Proposed Outcomes and Interventions

8. The *additionality* of the proposed project, relative to baseline development needs, will be clarified in the context of the proposed outcomes (which have been outlined in the PIF). A detailed description will be provided on how LDCF resources will be directed towards the additional cost of ensuring that baseline activities are transformed into one that incorporate climate change concerns (i.e. the adaptation scenario). Towards this end, a detailed assessment, including stakeholder consultations, will be undertaken of activities that are taking place or have taken place in different areas of Rwanda which are of relevance to the proposed outcomes. In addition to an in-depth problem analysis of the ongoing baseline interventions, the additionality of the proposed interventions (with respect to address climate change pressures on targeted communities) will be defined. The details on the baseline and additional activities will contribute towards clarifying how the baseline situation will be amended through the proposed project in order that risks associated with climate change, including variability are addressed.

9. The above review will also include an inventory of "who is doing what" (and at what scale) so that the LDCF project can be designed to build on ongoing and planned activities and leverage additional resources as co-financing. The inventory will contribute towards explicitly describing specific urgent and immediate adaptation actions which qualify under the additionality criterion. It will also inform on identifying key activities that are aligned with the comparative advantage of UNEP and UNDP.

10. The review and stakeholder consultations will also facilitate discussions with other local and international institutions who may be pursuing similar objectives/outcomes and identify important partnerships including co-financing opportunities. It will also facilitate discussions with other agencies such as World Bank, the African Development Bank, FAO, WMO and others on potential partnerships whereby the comparative advantage of these agencies can be brought to bear on the design and implementation of this project.

(e) Integration with Development Plans and Policies

11. The project will integrate climate change concerns into relevant national development plans and policies and also be aligned with core UN activities in Rwanda. In order to identify linkages of climate change concerns into national development plans and policies, a review of relevant national development policies will be undertaken. Useful documents in this regards include (i) the Rwanda Vision 2020, (ii) Economic Development and Poverty Reduction Strategy (EDPRS), environment/ water/land/forestry/agriculture/energy laws, policies and strategies, and (iii) *UN Common Country Assessment (CCA).* A review of the UN/UNDP programming documents such as the *United Nation Development Assistance Framework (UNDAF) and UNDP Country Programme Document (CPD)* or *Common Country Framework (CCF)* will also be undertaken in order to ensure that the project is anchored on relevant ongoing UN development programmes/projects. The project will also be developed in the context on the "One UN" programming framework which is being piloted in Rwanda.

COMPONENT 2: Project Scoping, Institutional arrangements for implementation phase, Development of Stakeholder Involvement Plan, Definition of a Monitoring and Evaluation Plan

12. The outputs of Component 1 will be used as technical input for the formulation of a Project Document for the proposed project. Technical assistance will be required by both national and regional/international consultants, who are (i) experienced in GEF project formulation as well as UNEP/UNDP project implementation requirements; (ii) technically competent in climate change impacts and adaptation options in the context of the scope of the project as outlined in the PIF; and (iii) familiar with the institutional setting in Rwanda, to support the Government of Rwanda to develop the following:

(a) Defining the logical framework, M&E indicators and work plan for the project

13. PPG resources will be utilized to outline a detailed logical framework with elaboration of the project goal, objective, outcomes, outputs, activities, as well as objective and outcome specific impact indicators, and detailed work plan to guide the implementation phase.

(b) Definition of Roles and Responsibilities

14. A detailed delivery strategy, with clearly identified roles and responsibilities of specific institutions for the overall management of the project will be specified. An in-depth analysis will be undertaken of the capacity of relevant Ministries and/or other appropriate local institutions that could implement the full size project. Details on oversight of technical activities including requisite reporting procedures will be established. UNEP guidelines as well as UNDP guidelines as articulated in the Results Based Management Framework will be followed in formulating and describing these details.

(c) Development of a Stakeholder Involvement Plan

15. A wide range of stakeholders will be identified and the Stakeholder Involvement Plan will be developed, which will be implemented throughout the project lifetime to ensure the appropriate level of stakeholder involvement in activities and decision-making processes that the project will support. Further, the Stakeholder Involvement Plan will assist the gender mainstreaming into the integrated watershed management practices in Rwanda. The Stakeholder Involvement Plan will also include a communication strategy.

(d) Definition of a Monitoring and Evaluation Plan

16. A detailed M&E work plan and delivery strategy will be defined including clear identification of responsibilities and institutions, as well as an appropriate budget allocation (based on best practices and UNEP/UNDP guidelines). This will also reflect the requirements of the Implementing Agencies vis-à-vis their standard reporting and evaluation mechanisms. The Monitoring Plan will include qualitative and quantitative indicators that will measure the state of adaptive capacity at various stages of project implementation. The M&E plan will include provisions for independent evaluation and provision to ensure learning of lessons from implementation.

(e) Identification of quantitative and qualitative indicators

17. Using a fully participatory stakeholder approach, resources will be used to define the monitoring and evaluation indicators (both qualitative and quantitative) for measuring and verifying the successful delivery of the Project Objective and Outcomes. Emphasis will also be given to those indicators that will ensure progress at various stages of project implementation. The M&E framework will be based on the guidance provided by UNDP-GEF for Adaptation Projects, and amended appropriately given the context of the proposed project.

(f) Exit Strategy (Sustainability)

18. A detailed sustainability strategy will be defined in order to ensure that continuation of the outcomes promoted through this project, including financial and institutional sustainability and replication, beyond the project lifetime.

COMPONENT 3: Consultations with key stakeholders

19. PPG resources will be utilized to engage key stakeholders at the national/sub-national and community level and across sectors involved in the integrated watershed management practices during the project design phase. In alignment with the approved project objective, comprehensive stakeholder analysis will be conducted to determine stakeholder needs vis-à-vis adaptation to potential climate change impacts, barriers to adaptation, expertise that might be helpful in designing and implementing the project activities and those who may have been involved in similar initiatives or planning processes. The following activities will be undertaken:

(a) Mobilize and engage stakeholders

20. Participatory development of a detailed delivery work-plan approved and endorsed by the key stakeholders. The successful completion of the preparatory phase will require the participation of a number of key stakeholders. Partnership will be established with:

- Public, private, and international institutions that monitor and produce information related to climate change impacts on water resources. A mechanism for sharing information on climate risk management and technical capacities of communities and relevant institutions on integrating climate risks into water mangement activities will be developed during the preparatory phase;
- A wide array of national agencies coordinated by Ministry of Natural Resources, including in particular Ministry of Agriculture and Animal Resources, and local governments, NGOs, international technical cooperation bodies, and local communities, will be consulted in order to establish an effective framework for the proposed project;
- A plan for project management during the implementation phase of the Full Size Project will be discussed and finalized during the preparatory phase. In this regard, stakeholders will include project partners (Implementing Agencies and Government represented by the coordinating ministry), NGOs, civil society organizations, CBOs, research, training and academic institutes, and sub-regional administrators.

21. UNEP/UNDP reporting, monitoring, and evaluation procedures will apply to this project and will be elaborated in the full Project Document.

(b) Determining priorities and forge expanded partnerships

22. Participatory negotiation with the local communities and stakeholders to cost priority adaptation needs for integrated catchment management and to address partnership requirements for support and co-funding at various levels (including government, NGO, private sector, and bilateral partnership arrangements) will be explored and outlined in the project document. Public-private-institutional-community partnerships including media will be engaged under a defined communication strategy aimed at performing policy advocacy, and dissemination of lessons learned. Further, during the preparatory phase, an in-country partnership among a number of existing UNEP and/or UNDP projects/programmes will be developed in order to ensure this project will not duplicate efforts while maximize synergies and development impacts by collaborating with other projects/initiatives. Projects/initiatives with strong possibility of effective collaboration include: UNDP/GEF Capacity Building for SLM project, UNEP/GEF projects for integrating adaptation factors into sustainable development planning; UNEP "Greening the Tea Industry" which is relevant to integrated watershed management for small hydropower development; and initiatives by the joint Poverty and Environment Facility.

(c) Community Mobilization

23. A detailed work plan based on a participatory stakeholder approach will be developed to mobilize local communities in implementing and monitoring relevant components of the project. This may include community participation in tracking the delivery of specific project outcomes. This is a sub-set of the Stakeholder Involvement Plan to be developed during the preparatory phase.

COMPONENT 4: Develop a financial plan and co-funding scheme

(a) Negotiate with Government Counterpart

25. PPG resources will be used to finance the cost of negotiating with the government to ensure agreement with the project objective, outcomes, outputs including finalizing partnerships for project support and co-funding.

(b) Explore Multilateral and Bilateral funding opportunities

26. PPG resources will be used to finance the cost of developing partnerships and co-funding opportunities at various levels with bilateral and multi-lateral funding institutions as well as networking at the global level in order to raise funds for the follow up project in Rwanda.

(c) Obtain official endorsement letters and guarantees

27. Official endorsement letter with guarantee of co-financing will be collected from the Government and international cooperating partners and attached to the project document.

D – Outputs from Preparation Activities

28. The expected Outputs from the Preparation Component based on assessments undertaken under Components 1- 4 which will feed into the Project Document are:

- Summary of the relevant baseline development plans and investment programmes of the public and private sector in Rwanda that influence the development of the Early Warning Systems and the implementation of the Integrated Catchment Management in Rwanda;
- Review and summary of the existing policy and regulatory framework relevant for the development of the Early Warning Systems and the implementation of the Integrated Catchment Management.

- Review, analysis and summary of the past project related activities funded by governments (both national and sub-national), donors and private sector in adaptation, early warning systems and integrated catchment management in Rwanda, and an updated report on the co-operation and co-financing possibilities in the frame of the envisaged LDCF project. This will include information disaggregated across the sectors, geographical regions and some municipalities;
- Supporting reports (climate risk assessments, economic analysis on costs/benefits of impacts, technical feasibility analysis of various adaptation options, economic assessment of adaptation options, and capacity needs assessment) to justify the proposed project interventions and to leverage financing for the proposed activities (this may include pre-feasibility studies for pilots, draft business plans etc.)
- A Project Logical Framework that captures the indicators and verification strategies;
- M&E framework for the projects that focuses on adaptation to climate change including variability. This includes a list of proposed indicators and an associated monitoring and evaluation plan (with a clear definition of how these indicators would be measured and how verification data would be collected through the monitoring programme);
- A work plan with detailed roles and responsibilities for implementation;
- A detailed budget that spells out how LDCF will be used to implement the proposed work plan and achieve the expected outcomes, with co-financing information at the outcome level;
- A stakeholder participation plan, with a clear focus on community involvement;
- Endorsement letters from the government and letters confirming co-financing commitments;
- Project Document and Executive Summary as per requirements of GEF and Implementing Agencies, including completed UNDP checklist for preparing adaptation projects; and
- Other reports from all project relevant stakeholder consultations

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

	Project Preparation	Agency Fee
GEF financing	150,000	15,000
Co-financing	150,000	
Total	300,000	15,000

E. FOR MULTI AGENCIES/COUNTRIES

GEF Agency	Country Name/ Global	(in $)		
		PPG (a)	Agency Fee (b)	Total c = a + b
UNEP			7,500	7,500
UNDP	Rwanda	150,000	7,500	157,500
(select)				
(select)				
(select)				
(select)				
Total PPG Requested		150,000	15,000	165,000

F. PPG BUDGET REQUESTING LDCF FINANCING

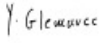
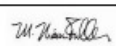
Cost Items	Total Estimated Person weeks (pw)**	LDCF	Co-financing ($)	Total ($)
Personnel		0	65,000	65,000
Local consultants *	90**	90,000	10,000	100,000
International consultants*	17**	51,000	10,000	61,000
Technical meetings, Stakeholder consultations, validation meetings		9,000	32,000	41,000
Management		0	33,000	33,000
Total PPG Budget		150,000	150,000	300,000

* A separate Annex A for Consultant cost details should be included in this PPG Request.

** Person weeks here refers to the weeks that are to be charged to the LDCF grant. One can also provide person months, if this is more applicable to the project. For co-financing, provide only the dollar amount.

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with LDCF policies and procedures and meets the LDCF criteria for project preparation.

Agency Coordinator, Agency name	Signature	Date *(Month, day, year)*	Project Contact Person	Telephone	Email Address
Yannick Glemarec, Undp		10/22/2008	Akiko Yamamoto	27123548125	akiko.yamamoto@undp.org
Maryam Niamir-Fuller, Unep		10/22/2008	Geordie Colville	254207623113	geordie.colville@unep.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position Titles	$/ person week	Estimated PWs	Tasks to be performed
National			
Expert, Climate Change Adaptation, Project Development and Overall Coordination	1000	40	Outline a detailed problem analysis (root-causes, barriers, etc…). Lead negotiations and consultations with potential partners. Help coordinate all PPG activities and ensure the quality of outputs. Contribute and support all the baseline analyses and all the project development activities. Organize and facilitate a series of technical workshops and consultative workshops. Refine the vulnerability analysis, system boundaries and project's scope. Identify potential specific sites for intervention. Support design of the on-the-ground adaptation measures. Lead the inter-sectoral coordination efforts. Define roles and responsibilities and propose suitable institutional/implementation arrangements. Design the Knowledge Management and M&E component (including learning mechanisms and impacts indicators). Develop the project's replication and sustainability strategy.
Expert, Climate Change	1000	6	Based on existing regional models, and knowledge of climate in Rwanda, develop models of the likely climate change scenarios at the national and sub-national levels in Rwanda, with particular reference to the natural resources management sectors and other priorities identified in the NAPA.
Expert, Climate Information &Database Development	1000	6	Work with the international/regional expert for early warning systems to conduct baseline analysis. Work with the international/regional expert to conduct feasibility studies for the establishment of the early warning systems. Provide inputs to the capacity gaps and needs analysis carried out by the institutional expert for the development and management of the Early Warning Systems Help build partnerships and mobilize resources.
Expert(s), Integrated Water and Natural Resources Management and Agricultural Practices	1000	10	Undertake detailed analysis of the health of ecosystem (including water availability, soil productivity, water retention capacity of soil, soil erosion rate, resilience to extreme events) and agricultural practices (including water demands, type of crops, expected economic and social development) of the Congo-Nile crest watershed in the baseline. Identify additional water demands and floods/droughts control measures required to adapt to climate change. Help prepare feasibility studies for a series of demonstration and investment projects to adapt to climate change through implementing integrated catchment management practices.

			Ensure the impacts of climate change on the ecosystems are fully understood and fully mainstreamed into all project activities and strategies. Provide inputs to the capacity gaps and needs analysis carried out by the institutional expert for the implementation of the integrated catchment management. Help build partnerships and mobilize resources.
Expert, Natural Resource Economics	1000	6	Work with the international expert for economic/financial analysis to prepare a financial and economic analysis of the current and potential values of the establishment of the Early Warning Systems and to develop a draft financial scheme for the operation of such Systems. Work with the international expert for economic/financial analysis to prepare a financial and economic analysis of the current and potential values of the implementation of the integrated catchment management for improved income streams for local agricultural communities in the Congo-Nile crest watershed. Help build partnerships and mobilize resources.
Expert, Institution and policy	1000	8	Review and analyze existing policies and regulatory and institutional frameworks, both vertically and horizontally, which govern the natural resources management sectors in Rwanda both at the national and sub-national(catchment) level. Conduct capacity gaps and needs analysis at systemic, institutional and individual levels for the development and management of the Early Warning Systems as well as for the implementation of the Integrated Water Resources Management. Design the project's policy, institutional and capacity development strategy and action plans to create enabling environment for the establishment and operation of the Early Warning Systems and for the implementation of the Integrated Water Resources Management with due consideration given to the sustainability of impacts – design in detail the activities that are required to adapt to climate change. Help build partnerships and mobilize resources.
Experts, Stakeholder Participation	1000	14	Conduct Stakeholders Analysis and develop Stakeholders Participation Plan; Identify, mobilize and engage stakeholders from all relevant sectors and spheres (from decision makers to administrators, to scientists, to communities) and assist with the consultation process at national and catchment/sub-catchment levels; Ensure the project is appropriate driven by local communities, and responds adequately to their development needs; Help build partnerships and mobilize resources.
International/Regional			
Expert, Climate change, Climate Change Adaptation and project development	3,000	8	Help scope PPG activities and workplan and coordinate the input and outputs of all consultants and sub-contractors, overseeing quality. Help identify the climate change risks associated with the project's implementation areas. Validate problem analysis and ensure the additionalities are

			captured in the analysis. Help determine the scope and strategy of the project. Help plan activities of the project. Define the logical framework and work plan for the project Clarify the additionality of the proposed outcomes and activities, and ensure that the project approach is the most cost-effective. Propose institutional and implementation arrangements for Full Sized project. Lead the development of the M&E Plan and indicators. Facilitate the process of confirming the co-funding and co-financing plan. Facilitate consultations with regards to the FSP proposal, including detailed budget, detailed TOR for all inputs, and detailed activity and workplan and M&E Plan, in line with GEF eligibility principles.
Expert, Early Warning Systems	3,000	3	Assist/guide local experts in conducting baseline analysis Assist/guide local experts in conducting feasibility studies for the establishment of the early warning systems. Provide technical inputs and review the design of the proposed LDCF project. Help build partnerships and mobilize resources.
Expert, Integrated Catchment Management and Agricultural Practices	3000	3	Assist/guide local experts in conducting baseline analysis Assist/guide local experts in conducting feasibility studies for a series of demonstration projects that realize improved catchment management and better land use options through changes in agricultural practices. Provide technical inputs and review the design of the proposed LDCF project. Help build partnerships and mobilize resources.
Expert, Economic/Financial Analysis	3000	3	Quantify and qualify the actual and potential values (costs/benefits) of the establishment of the Early Warning Systems to the economy of Rwanda. Develop a basic cost-benefit model for the operation of the Early Warning Systems and draft cost-sharing (financing) scheme. Quantify and quality the actual investment needs for and the potential returns from the better catchment management practices in the Congo-Nile crest watershed. Identify mechanisms to realize the potential returns and increase income streams for the local agricultural communities to be realized by the better catchment management. Develop a medium- and long-term (public) investment model to implement integrated catchment management to improve the livelihood of the communities in the Congo-Nile crest watershed. Help build partnerships and mobilize resources.

* Or person month, if applicable. Please indicate clearly.

** Provide weeks or months as appropriate that corresponds to the rate provided in the previous column.