



## **PROJECT PREPARATION GRANT (PPG)**

**PROJECT TYPE:** Full-sized Project

**TYPE OF TRUST FUND:** GEF Trust Fund

**Submission date:** November 28, 2011

**GEF PROJECT ID:** 4533

**GEF AGENCY PROJECT ID:** -676

**COUNTRY(IES):** Global

**PROJECT TITLE:** Development Of A Methodology With Tools And Decision Support Systems To Incorporate Floods And Droughts Into IWRM In Transboundary Basins.

**GEF AGENCY(IES):** UNEP, (select), (select)

**GEF FOCAL AREA(s):** International Waters

### **A. PROJECT PREPARATION TIMEFRAME**

Start date of PPG	04/01/2012
Completion date of PPG	03/31/2013

### **B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)**

Describe the PPG activities and justifications:

A project preparation phase is required to: consult with stakeholders; review and assess existing methodologies and practices for incorporating floods and droughts into transboundary basin integrated water resources management (IWRM) in order to develop specifications for the tools and decision support systems (DSSs); shortlist possible demonstration basins and develop a network of potential users and clients within the basins. More specifically:

#### **1) PPG Coordination and Consultation.**

Key stakeholders, including (but not limited to) the implementing agency, executing agencies, GEF Secretariat and co-financiers will form the PPG Coordination Committee (PPGCC). This group will meet at least twice over the PPG period to technically guide the project, approving the workplan, Terms of Reference and recruitment of consultants to develop the project. This group will also provide input to and approve the full project documentation that the consultants produce and serve as a network for creating awareness about this initiative. GEF funds are requested to support the participation of external partners (e.g. representatives from pilot basins etc) in the PPGCC meetings and also to convene side events at e.g. World Water Forum and Stockholm Water Week to create awareness about the initiative, solicit stakeholder input and advance the work of the PPG.

#### **2) Scoping.**

Consultants will identify and assess existing available methodologies, tools and systems for flood and drought decision support. The detailed report will be subjected to extensive consultation which will identify gaps and short-comings and yield new specifications, parameters and considerations for such decision support systems. Also, criteria will be refined for the selection of pilot basins and a preliminary list of potential pilot basins will be developed.

#### **3) Consultation and development of a network of users.**

Reviews of city level engagement (utilities and other key stakeholders) in flood and drought management with the aim of identifying user needs and developing a framework and best practices for such engagement

and a network of users for such tools and decision support systems.

4) UNEP review, clearance and submission of project documentation.

While this component is financed wholly from the agency fee and does not draw on the PPG grant budget, the UNEP review of the project documentation for conformity with the UNEP Programme of Work, GEF rules and procedures and international best practices is an important step in the PPG work plan.

<b>List of Proposed Project Preparation Activities</b>	<b>Output of the PPG Activities</b>	<b>Trust Fund</b>	<b>Grant Amount (a)</b>	<b>Co-financing (b)</b>	<b>Total c = a + b</b>
1) PPG Coordination and Consultation	<p>PPG Coordination Committee (PPGCC) established (consisting of GEF Sec, implementing agency, executing partners and possible co-financiers) and technically supporting project development;</p> <p>PPGCC convened for detailed PPG planning and approves PPG workplan, ToRs and recruitment of consultants to support project development;</p> <p>PPGCC supports, as necessary, the consultants in developing the project and convenes to provide feedback on and approve the project deliverables, including full project documentation and financial report for PPG fund;</p> <p>PPGCC raises awareness about project with potential partners, pilot basins and other stakeholders thru side events at WWF, SWW among others.</p>	GEF TF	40000	40,000	80,000

2) Scoping	<p>Assessment report identifying and examining existing flood and drought management decision support methodologies, tools and systems (consideration of DSS will be based on criteria specified on p. 8 of PIF) used to incorporate flood and drought planning into water management;</p> <p>Consultation on the assessment report regarding identification of capacity, gaps, and best practices in integrating flood and drought information into IWRM;</p> <p>Scoping and selection of potential pilot basins.</p>	GEF TF	105000	100,000	205,000
3) Consultation with utilities and (agro)industrial user representatives and development of a network of users	<p>Review of Utility Water Safety Plan development linked to GEF IW activities to define potential basins;</p> <p>Review of current best practice city level engagement in basin level floods and droughts management to define engagement framework boundaries and assess user needs</p> <p>Mobilisation of utility and IWA specialist group's interest and engagement in project design, cofunding and</p>	GEF TF	45,000	45000	90,000

	implementation				
4) Clearance, submission, revision and approval of Project Documentation (by UNEP)	<p>UNEP Project Review Committee considers and, following revisions if necessary, clears documentation;</p> <p>Documentation submitted to GEF Sec for endorsement;</p> <p>GEF Sec comments adequately addressed and Project Document signed by all parties</p>	(select)	0	0	0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
<b>Total Project Preparation Financing</b>			<b>190,000</b>	<b>185,000</b>	<b>375,000</b>

**C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)**

	<b>Project Preparation</b>	<b>Agency Fee</b>
Grant Amount	190,000	19000
Co-financing	185,000	
<b>Total</b>	<b>375,000</b>	<b>19000</b>

**D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

<b>Trust Fund</b>	<b>GEF Agency</b>	<b>Focal Area</b>	<b>Country Name/ Global</b>	<b>(in \$)</b>		
				<b>PPG (a)</b>	<b>Agency Fee (b)</b>	<b>Total c = a + b</b>
GEF TF	UNEP	International Waters	Global	190,000	19,000	209,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0

(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total PPG Amount</b>			<b>190,000</b>	<b>19,000</b>		<b>209,000</b>

<sup>1</sup> No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.


#### E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *				0
International consultants*	50	150000	150000	300000
Travel		40,000	35,000	75,000
				0
				0
				0
<b>Total PPG Budget</b>		190,000	185,000	375,000

\* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

#### F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller		November 28, 2011	Kelly West	+254 20 762 4147	kelly.west@unep.org

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

<b>Type of Consultant</b>	<b>Position / Titles</b>	<b>\$/ Person Week<sup>1</sup></b>	<b>Estimated PWs<sup>2</sup></b>	<b>Tasks to be Performed</b>
International	Project Development Expert	3000	15.00	<p>Coordinate all activities for the PPG phase. Specific duties include but not limited to:</p> <ul style="list-style-type: none"><li>• Responsible for the overall coordination of the preparatory activities, including the development of PPG work plan to be approved by PPG Coordination Committee (PPGCC) to ensure the timely completion of the PPG activities.</li><li>• Ensure the high quality of all documents/reports produced during the PPG phase to be submitted to PPGCC and UNEP;</li><li>• Development of Request for CEO Endorsement and Full Project Documentation, (includes: Baseline Analysis, Project Strategies specifying Objective, Outcomes, Outputs and Activities, Coordination mechanisms with other initiatives, regional and national initiatives, Work-plan and Budget, M&amp;E Plan, Stakeholders Involvement Plan and co-financing letters);</li><li>• In consultation with executing partners, assist in the identification of potential pilot basins, users and additional co-financiers;</li><li>• Finalization of Full Project Documents and Annexes (including responses to GEF, UNEP, and STAP Review).</li><li>• Organize, participate and report to the PPG Steering Committee meeting.</li></ul>
International	Flood And Drought Management Expert	3000	20	<p>Undertake an assessment of existing available methodologies, tools and systems for flood and drought decision support, and identify potential pilot basins. Specific duties include but not limited to:</p> <ul style="list-style-type: none"><li>• Production of an assessment report identifying the most suitable methodologies, tools and systems, as well as short-comings and gaps based on criteria defined in the PIF in collaboration with the executing</li></ul>

				<p>partners. The aim is to establish new specifications, parameters and considerations.</p> <ul style="list-style-type: none"> <li>• Develop, refine and apply criteria for the selection of pilot basins in collaboration with the executing partners. The aim is to establish a list of potential basins in which the methodologies, tools and systems could be tested and applied.</li> <li>• In close collaboration with the Flood and Drought Management Expert and in consideration of other PPG and PIF components, ensure the maximum benefit of activities and outputs to project development processes.</li> <li>• Participate and report to the PPG Steering Committee meeting as required.</li> </ul>
International	Water Safety & Planning Experts	3000	15	<p>Consultation with utilities and (agro)industrial user representatives and development of a network of users:</p> <p>Output 1: Review of Utility Water Safety Plan development linked to GEF IW activities to define potential basins;</p> <p>Tasks:</p> <ul style="list-style-type: none"> <li>• Undertake an assessment of existing Utility Water Safety Plan approaches and their use with emphasise on stakeholder engagement and activities at a basin level;</li> <li>• Production of a synthesis report of Utility Water Safety Plans and the linkages to floods and droughts management at basin level;</li> <li>• Preparation of an overview of potential partner utilities with established or emerging linkages to basin flood and drought management and potential linkages to GEF IW activities;</li> </ul> <p>Output 2: Review of current best practice city level engagement in basin level floods and droughts management to define engagement framework boundaries and assess user needs</p> <p>Tasks:</p> <ul style="list-style-type: none"> <li>• Compilation of results and outcomes from ongoing and recently completed reviews, studies and programmes on</li> </ul>

				<p>urban flood and drought management and basin linkages;</p> <ul style="list-style-type: none"> <li>• Conduct consultations with urban water managers on flood and drought management and urban drainage and define user needs;</li> <li>• Develop a conceptual framework for and provide examples of pathways for effective linkages between urban water management and safety and basin level flood and drought management;</li> <li>• Preparation of an overview of potential partner cities with previous experience or expressed need in developing urban flood and drought management with basin partners</li> </ul> <p>Output 3: Mobilisation of utility, industries and IWA specialist group's interest and engagement in project design, cofunding and implementation</p> <p>Tasks:</p> <ul style="list-style-type: none"> <li>• Consultation with utilities, industry representatives, and other IWA members and partners to review the project concept, its assumptions and the envisaged outcomes and activities;</li> <li>• Define the interest and most appropriate ways of engagement in the project for utilities and industries;</li> <li>• Seek active contributions and co-funding from utilities and industries (and their consultants) for the project;</li> <li>• Consult with relevant IWA specialist groups and seek their input into project design, co-funding and implementation.</li> </ul>
(Select)				
(Select)				
(Select)				
(Select)				
(Select)				

<sup>1</sup> Provide dollar amount per person week.

<sup>2</sup> Provide person weeks needed to carry out the task



