



## PRE-CONCEPT FOR A REGIONAL PROJECT

### PART I: PROJECT INFORMATION

Title of Project:	<b>Building urban climate resilience in south-eastern Africa</b>
Countries:	Madagascar, Malawi, Mozambique and Union of Comoros
Thematic Focal Area:	Disaster risk reduction and early warning systems
Type of Implementing Entity:	Multilateral Implementing Entity
Implementing Entity:	United Nations Human Settlements Programme (UN-Habitat)
Executing Entities:	<u>DiMSUR</u> : Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience <u>In Madagascar</u> : Municipalities of Morondava and Antalaha; National Bureau for Disaster Risk Management (BNGRC); NGO <u>In Malawi</u> : Municipalities of Karonga and Zomba; Department of Disaster Management Affairs; NGO <u>In Mozambique</u> : Municipalities of Chokwe and Vilankulo; National Institute for Disaster Management (INGC); NGO <u>In Comoros</u> : Municipalities of Moroni, Mutsamudu and Fomboni; Civil Protection; NGO
Amount of Financing Requested:	US\$15,088,553

### Project Background and Context:

Although Africa's population remains mostly rural, the continent will become predominantly urbanised in the next 20 years. With a lack in local capacity to manage this rapid urban growth much of the population expansion is taking place in informal settlements characterised by poor living conditions, lack of access to basic services and infrastructure, and often located in areas exposed to natural hazards. Urban risks are exacerbated by the increasing severity and unpredictability of climate change effects.

The four selected countries where the proposed project is expected to take place, Madagascar, Malawi, Mozambique and the Union of Comoros, are located in the south-eastern part of the African continent. This region is annually affected by cyclones originating in the Indian Ocean and moving westwards during the period stretching from November to March, hence provoking strong winds, high precipitations and floods with devastating effects in urban areas. The intensity and frequency of such a cyclonic activity have increased in the last two decades, most probably as a result of climate change.

Since 2010, UN-Habitat has facilitated the establishment of the *Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience (DiMSUR)* which was launched by the Governments of these four countries in 2013. UN-Habitat and DiMSUR have recently developed the City Resilience Action Planning (CityRAP) Tool<sup>1</sup> with the objective of enabling local governments of small to intermediate sized cities to understand risks and plan practical actions to progressively build urban resilience.

In the context of this project, nine cities or towns with similar types of vulnerabilities have been selected in these four countries to implement pilot adaptation projects following a participatory approach.

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<sup>1</sup> For more information on DiMSUR and the CityRAP Tool, please consult the website: [www.dimsur.org](http://www.dimsur.org)

## Project Objectives:

The overall objective of the project is twofold: (i) to develop capacity and establish conditions at municipal and national level to adapt to the adverse effects of climate change in vulnerable cities and towns of Madagascar, Malawi, Mozambique and the Union of Comoros; and (ii) to promote inter-country experience sharing and disseminate lessons learned for building urban climate resilience in south-eastern Africa.

## Project Components and Financing (*NB: all 4 countries are concerned in each component*):

Programme Components	Expected Outcomes	Expected Outputs	Amount (US\$)
1. Climate change adaptation planning at the town/city level	Municipal staff, communities and local stakeholders understand climate change induced risks pertaining to their city/town and have identified priority actions for climate adaptation	<ul style="list-style-type: none"> <li>9 City Resilience Action Plans (City RAPs) identifying priority actions to adapt to the adverse effects of climate change</li> <li>9 in-depth environmental and social risk assessment studies regarding the priority actions to be implemented in each city/town</li> </ul>	1,000,000
2. Assistance with implementation and management of priority investments at the town/city level	Municipal staff, communities and local stakeholders have implemented the identified priority actions and have acquired the capacity to manage and maintain these	<ul style="list-style-type: none"> <li>9 detailed projects for implementing the selected priority actions, mainly targeting informal neighbourhoods in each city</li> <li>Priority actions implemented through community involvement in each city</li> <li>Municipal staff and community members trained for ensuring the management/maintenance of the realised priority actions</li> </ul>	7,000,000
3. Tools and guidelines development and training delivery at the national level	National governments have created an enabling environment for scaling up and replicating the same approach in other urban settlements	<ul style="list-style-type: none"> <li>Climate adaptation tools for urban areas</li> <li>National guidelines for promoting urban climate adaptation</li> <li>National officers trained in urban climate adaptation</li> </ul>	3,500,000
4. Inter-country experience sharing and dissemination of lessons learned at the regional level	Local and national governments of the 4 countries have learned from each other good urban climate adaptation practices	<ul style="list-style-type: none"> <li>Lessons learned and best practices captured and disseminated through DiMSUR</li> <li>Regional workshops for experience sharing among the different countries, and participation to global events</li> </ul>	1,200,000
5. Project Execution Cost (9.5%)			1,206,500
6. Total Project Cost			13,906,500
7. Project Cycle Management Fee charged by the Implementing Entity (8.5%)			1,182,053
<b>Amount of Financing Requested</b>			<b>15,088,553</b>

**Project Duration:** 4 years (48 months)

## PART II: PROJECT JUSTIFICATION

The project consists of **four components**:

*Under Component 1*, the project intends to empower local stakeholders of nine vulnerable

towns/cities (two in Madagascar, two in Malawi, two in Mozambique and three in the Union of Comoros – one per island) in the understanding and planning process of climate change adaptation up to the identification of priority actions, in a participatory manner. An environmental and social risk assessment will then be undertaken for each of these actions.

*Under Component 2*, the selected priority actions will be packaged into viable pilot climate adaptation projects with focus on the effects of cyclones, rainfall and floods. Therefore, they will mainly concern, among other possibilities: (i) the improvement of drainage conditions; (ii) the design, construction or retrofitting of public facilities as flood and cyclone shelters; (iii) the physical demarcation of areas at risk for limiting urban development (zoning); (iv) the implementation of protective measures for land/sea erosion control; etc. These projects will be implemented under the leadership of the municipalities through community involvement (e.g. labour intensive activities) and the support of capable NGOs, in the most cost-effective manner. One poor/informal neighbourhood per city/town will be targeted. Importantly, local capacity will be developed to ensure the management/maintenance of the pilot projects' outcomes in the longer term. Efforts will be made to mobilise additional resources.

*Under component 3*, project activities will occur at the national level to create the conditions for scaling up and replication. Through DiMSUR, UN-Habitat will continue to developing fit-to-purpose tools for urban climate adaptation and resilience actions, adapted to the context of each country. Meanwhile, national guidelines for promoting urban climate adaptation will also be prepared, which will include practical recommendations for revising the existing urban legislation, improving the institutional set up and supporting policy/strategy formulation. Importantly, the project will put emphasis in training and institutional capacity development of government officials, especially through the organisation of ad-hoc workshops.

*Component 4* will focus on: (i) capturing and disseminating the lessons learned and best practices from the implementation of the project activities at the town/city and national level; and (ii) inter-country experience sharing. This will highlight the added-value of this regional initiative. Learning from each other, in a region affected by similar climate-related threats, is critical for the participating countries. In this context, DiMSUR will work as the natural framework for knowledge management and sharing. Regional workshops will be organised and participation to relevant global conferences encouraged.

The project promotes **new and innovative solutions** to climate change adaptation:

- The application of the CityRAP Tool, which is a new ground-breaking product targeting small and medium-sized African cities with low institutional capacity. It uniquely enables local governments to take the lead in the process of understanding the different types of risk affecting their towns/cities, with minimum external support. Based on inter-sectoral self-assessment and participatory planning, the Tool allows to coming up with priority climate resilience actions in the short, medium and long-term. Importantly, UN-Habitat closely collaborates with other urban resilience initiatives globally (e.g. Rockefeller Foundation, UNISDR, among others). It is recognised that the CityRAP Tool fills an important gap, especially when considering that existing tools are data-hungry and require a high level of expertise for their use, elements which are often missing in small/intermediate African cities.
- DiMSUR, a new non-profit and autonomous institution, started by the four countries concerned by this project. The Centre focuses on themes that are still relatively new in the African region and are not yet institutionalised, such as urban climate adaptation and resilience. DiMSUR provides technical assistance and will serve as a regional platform for exchanging good practices, dissemination and knowledge management.
- Privileging a bottom-up approach, i.e. local experiences are mainstreamed at the national and regional level.

The project will ensure a good level of **cost effectiveness** by relying on an existing and entrusted institution such as DiMSUR which will take the lead in the implementation of regional activities (Component 4). UN-Habitat has a well-established presence in the four countries, which will facilitate the implementation of Component 3 at a reasonable cost. For Components 1 and 2 the involvement of the local communities and stakeholders in the implementation phase is critically important to maintain affordable costs.

**Consistency with national/regional development strategies:** At the global level, the project aligns with the Sendai disaster risk reduction plan of action 2015-2025 and the Sustainable Development Goal (SDG) n.11: “Make cities and human settlements inclusive, safe, resilient and sustainable”. It takes into account the current Disaster Risk Reduction Strategy of the Southern Africa Development Community (SADC) as well as the National Action Plan for Adaptation (NAPA) and other relevant national strategies of the participating countries.

The project follows a highly **consultative process** regarding: (i) the implementation of the CityRAP Tool at the town/city level, which involves local authorities and vulnerable communities; (ii) the identification and design of tools and guidelines through proper consultation with the concerned national authorities; (iii) the organisation of regional workshops for sharing and disseminating lessons learned and best practices. Gender aspects will be taken into consideration throughout project implementation.

The **sustainability** of the project will be ensured thanks to: (i) the establishment of the required management and maintenance mechanisms of the realised pilot projects at the local level; (ii) the design of tools and guidelines to create favourable conditions for replication at the national level; (iii) the sharing and dissemination of lessons learned and best practices through DiMSUR.

**Economic, social and environmental benefits and mitigation strategies:** the priority actions to be implemented under Component 2 in one neighbourhood of each targeted town/city are meant to increase the capacity to adapt to climate change in urban areas, especially to the benefit of vulnerable communities and groups, mainstreaming gender aspects. Compliance with the Environmental and Social Policy of the Adaptation Fund will be ensured once the preliminary City RAPs are produced, by incorporating the risk and impact assessments’ recommendations into the design of each pilot project, including appropriate mitigation strategies for implementation.

**Duplication with other funding sources:** Despite the existence of climate change adaptation initiatives in the four targeted countries (e.g. World Bank, DFID, USAID, UNDP, UNEP, among others), none is adopting the approach proposed in this project (bottom-up, from local to national and regional level, and mainstreaming participation in each implementation step) and specifically focusses on urban areas.

**Justification for funding requested:** The project targets four countries over four years for a total project cost slightly less than US\$14 million. Specifically, nine cities/towns have been targeted for climate adaptation planning, and one neighbourhood in each one of them will benefit from the implementation of pilot projects. The latter will use half of the project funds. Therefore, the amount required seems reasonable and will have an important impact in the selected urban areas. The project will also produce critical tools and guidelines at the national level and valuable knowledge at the regional level.

### PART III: IMPLEMENTATION ARRANGEMENTS

UN-Habitat as the Implementing Entity will be working through different Executing Entities. The DiMSUR Executive Board, of which UN-Habitat is part together with the four countries, will

constitute the Steering Committee of the project. Specifically, DiMSUR will be responsible for implementing Component 4 and will provide inputs in Components 1 (CityRAP Tool implementation) and 3.

For Components 1 and 2, UN-Habitat will adopt a participatory approach through the concerned municipalities and qualified NGOs in each country to maximise the involvement of the final beneficiaries (i.e. the poor/vulnerable communities) both in terms of decision-making during the planning process and especially during the implementation of the prioritised investments.

Meanwhile under Component 3, some funds will be channelled through concerned national institutions at the ministerial level.

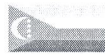
## PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY

### A. Record of endorsement on behalf of the government

Ms. Jane Alice Razanamiharisoa Head, Climate Change Adaptation Unit, Bureau for Coordination of Climate Change - Ministry of Environment, Ecology, Sea and Forest - Antananarivo, Madagascar	Date: <i>February 2<sup>nd</sup>, 2016</i>
Mr. Peter K. Simbani For the Secretary to the Treasury, Ministry of Finance, Economic Planning and Development Lilongwe, Malawi	Date: <i>January 27<sup>th</sup>, 2016</i>
Ms. Sheila Afonso Permanent Secretary, Ministry of Land, Environment and Rural Development - Maputo, Mozambique	Date: <i>January 13<sup>th</sup>, 2016</i>
Mr. Ismael Mogne Daho Director General of Civil Protection Moroni, Union of Comoros	Date: <i>January 29<sup>th</sup>, 2016</i>

### B. Implementing Entity certification

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans of Madagascar, Malawi, Mozambique and the Union of Comoros and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.	
<i>Rafael Tuts</i> Coordinator, Urban Planning and Design Branch, UN-Habitat	
Date: <i>February 8<sup>th</sup>, 2016</i>	Tel. and email: +254 20 7623726 raf.tuts@unhabitat.org
Project Contact Person: Mathias Spaliviero, Focal Point for Climate Change Adaptation, Regional Office for Africa	
Tel. And Email: +254 207624716 / mathias.spaliviero@unhabitat.org	



**UNION DES COMORES**



Unité - Solidarité - Développement



**MINISTRE DE L'INTERIEUR, DE L'INFORMATION, DE LA  
DECENTRALISATION, CHARGE DES RELATIONS AVEC LES INSTITUTIONS**

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**DIRECTION GENERALE DE LA SECURITE CIVILE**  
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Moroni, January 29th, 2016

Le Directeur Général

N° - 16 04 /DGS-DG

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: [Secretariat@Adaptation-Fund.org](mailto:Secretariat@Adaptation-Fund.org)  
Fax: 202 522 3240/5

Subject: Endorsement for Building urban resilience in south-eastern Africa

In my capacity as designated authority for the Adaptation Fund in the Union of Comoros, I confirm that the above regional projectproposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the Union of Comoros.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by the United Nations Human Settlements Programme (UN-Habitat) and executed by the Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience (DiMSUR) and the Municipalities of Moroni, Mutsamudu and Fomboni, the Civil Protection, the Ministry of Territorial Management, Urban Development and Housing and the NGOs (Red Crescent; Ulanga Network).

Sincerely,



Colonel Ismael MOGNE DAHO



## MINISTRY OF ENVIRONMENT, ECOLOGY, SEA AND FOREST

N° 05/16 .....

Antananarivo,

To: The Adaptation Fund Board  
C/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 3240/5

**Subject:** Endorsement for "Building urban climate resilience in South-Eastern Africa" project

In my capacity as designated authority for the Adaptation Fund in Madagascar, I confirm that the above regional project proposal is in accordance with the government's regional priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in Madagascar and South-Eastern Africa.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the United Nations Human Settlements Programme (UN-Habitat) and executed by the Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience for Southern Africa (DIMSUR) in partnership with governments, municipalities and NGOs of the four countries.

Sincerely,



**RAZANAMIHARISOA Jane Alice**

Telephone: +265 1 789355  
Telefax: +265 1 789173

Email: [finance@finance.gov.mw](mailto:finance@finance.gov.mw)

SECRETARY AND COMMISSIONER  
FOR DISASTER  
MANAGEMENT AFFAIRS



Ref. No./.././..

27 JAN 2016

PRIVATE BAG 336,  
CAPITAL CITY, LILONGWE 3

MINISTRY OF FINANCE, ECONOMIC  
PLANNING AND DEVELOPMENT  
P.O. BOX 30049  
CAPITAL CITY  
LILONGWE 3  
MALAWI

27<sup>th</sup> January, 2016

The Adaptation Fund Board

c/o Adaptation Fund Board Secretariat.

Email: [Secretariat@Adaptation-Fund.org](mailto:Secretariat@Adaptation-Fund.org)

Fax: 202 522 3240/5

Dear Sir/Madam,

**ENDORSEMENT FOR 'BUILDING URBAN CLIMATE RESILIENCE IN SOUTH-EASTERN  
AFRICA PROJECT' BY GOVERNMENT OF MALAWI**

In my capacity as the Designated Authority for the Adaptation Fund in Malawi, I confirm that the above regional project proposal is in accordance with the Malawi Government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks posed by climate change in the country.

Accordingly, I am pleased to endorse the above project proposal and would be grateful if it could receive support from the Adaptation Fund. If approved, the project will be implemented by the United Nations Human Settlements Programme (UN-Habitat) and executed by the Government's Department of Disaster Management Affairs (DoDMA) in collaboration with two Non-Governmental Organizations, i.e., Habitat for Humanity and Catholic Development Commission.

It is our hope that the proposal can be supported.

Yours faithfully,

Peter K. Simbani

**Adaptation Fund National Designated Official**  
For: **SECRETARY TO THE TREASURY**

Copy: The Commissioner for Disaster Management Affairs, Lilongwe 3.



ADAPTATION FUND

Letter of Endorsement by Government



REPUBLIC OF MOZAMBIQUE  
MINISTRY OF LAND, ENVIRONMENT AND RURAL DEVELOPMENT

13<sup>rd</sup> January 2016

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 3240/5

Subject: Endorsement for Building urban resilience in south-eastern Africa

In my capacity as designated authority for the Adaptation Fund in Mozambique, I confirm that the above regional project/programme proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the country.

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by United Nations Human Settlement Programme (UN-Habitat) and executed by Technical Center for Disaster Risk management, Sustainability and Urban Resilience (DiMSUR) and the Municipalities (Chokwe, Vilankulo and Nacala); Government entities (National Institute for Disaster Management – INGC; Ministry of Land, Environment and Rural Development - MITADER); NGOs (World Vision International; Concern).

Sincerely,



Sheila Santana Afonso  
Permanent Secretary  
Ministry of Land, Environment and Rural Development

