ADAPTATION FUND

PRE-CONCEPT FOR A REGIONAL PROJECT

PART I: PROJECT INFORMATION

Title of Project:	**Building urban climate resilience in south-eastern Africa**
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:	DiMSUR: Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience In Madagascar: Municipalities (Morondava, Antalaha and Manakara); Government entities (Ministry of Territorial Planning and the National Bureau for Disaster Risk Management - BNGRC); NGOs (DEPAR - Développement et Participation; CCAP - Carrefour de Consultants, Animateurs, Paysans) In Malawi: Municipalities (Karonga, Zomba and Blantyre); Government entities (Department of Disaster Management Affairs - DoDMA); NGOs (Habitat for Humanity; CADECOM - Catholic Development Commission) In Mozambique: 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) In Comoros: Municipalities (Moroni, Mutsamudu and Fomboni); Government entities (Civil Protection; Ministry of Territorial Management, Urban Development and Housing); NGOs (Red Crescent; Ulanga Network)
Amount of Financing Requested:	US$17,583,510

Project Background and Context:

Although Africa's population remains mostly rural, the continent will become predominantly urbanised in the next 20 years with an urban population of over 50% by 2036.[1] With a lack in local capacity to manage this rapid urban growth much of the population expansion is taking place outside or in absence of official planning frameworks. A large part of the housing demand is being met by growing informal settlements, characterised by poor living conditions and lack of access to basic services and infrastructure. These are often located in areas exposed to natural and man-made hazards. Urban risks are exacerbated by the increasing severity and unpredictability of climate change effects. These impact on a range of sectors from water supply, food systems as well as health and adversely affect the urban poor. This is particularly acute in small to intermediate sized cities in Africa as they host the largest share of the urban population (54%), and are projected to be the world's fastest growing urban

[1] World Urbanization Prospects, 2014 Revision

agglomerations in the decades to come.[2] At the same time, they face significant lack in governance capacity and are therefore poorly equipped to support risk reduction and resilience planning and subsequent implementation. Hence, developing local governance capacity in risk management and resilience planning is a key strategy to reduce the multiple risks cities are exposed to and adapt to the adverse effects of climate change.

The Fifth IPCC Assessment Report presents strong evidences that average temperatures in Africa have increased over the last 50–100 years. In particular, the report suggests that climate change has already impacted on the magnitude and frequency of some extreme weather events in the continent, and that the health, livelihoods and food security of people have been affected. Specifically, for southern Africa (the region this proposal is focusing on), projections indicate that there will be higher risk of droughts, while there is uncertainty concerning projected changes in landfall of tropical cyclones originating in the southwest Indian Ocean which led to intense flooding in the last decades. The Report also highlights that climate change is among many drivers of rural-urban migration. Rapid urbanisation calls for significant investment to create jobs, improve planning and provide infrastructure and services. African cities, in most cases, lack those financial resources. Across the continent, most adaptation to climate variability and change is reactive, short term, at the individual or household level, and is not supported by government stakeholders and policies.

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, which is a region that has shown consistently a high vulnerability to extreme climate-related events over the past decades, in particular to floods, droughts and cyclones. Mozambique is located downstream of nine international rivers among which are important ones such as the Zambezi, Limpopo, Rovuma and Save. The intensive cyclonic activity originating in the south-east Indian Ocean, and regularly impacting Madagascar and Comoros, often results into flooding in Mozambique and Malawi. The latter was badly hit by flooding in early 2015, which disrupted the country's economy and displaced hundreds of thousands of people. In addition, Madagascar, Comoros and Mozambique show several coastal cities which are likely to be affected by sea level rise resulting from increasingly warmer temperatures. Malawi and Mozambique also suffers from chronic drought. Therefore, there is a clear need to enhance inter-country cooperation and experience-sharing to adapt to the negative effects of climate change in these countries. Urban areas are particularly unprepared and at high risk due to a greater concentration of people and assets compared to rural areas.

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. Through a Memorandum of Understanding signed in 2014, which sees UN-Habitat acting as a facilitator, the Centre was endorsed at ministerial level by these countries as an international non-profitable, autonomous and regional organisation. The Centre aims at fostering development and dissemination of knowledge and solutions as well as developing capacities for disaster risk management, climate change adaptation and urban resilience. Currently, a Host Agreement is being approved by Cabinet in Mozambique since the Centre will be headquartered in Maputo with a representation in each of the four countries. The DiMSUR Executive Director has been recruited as well as four National Focal Points.

One of the issues DiMSUR tries to address is the general lack of contextually adapted urban risk reduction and resilience initiatives in sub-Saharan Africa, despite the above-mentioned growing urbanisation. In general, existing tools and approaches are not appropriately targeted to low capacity local governments in the region, while at the same time tend to be dedicated to a narrow audience. They often heavily rely on outside technical expertise, are too technical in nature, and depend on costly data collection methods, creating a disincentive to local governments in kick-starting a process of resilience building and climate change adaptation. There are some exceptions, as reported under the Nairobi Work Programme on impacts, vulnerability and adaptation to climate change, in which some of the good practices developed by UN-Habitat are mentioned, including: (i) a tool to mainstream gender consideration into city-level climate change plans and strategies, which was applied in Kampala, Uganda; (ii) simple and low-cost pilot interventions as effective local solutions for creating climate-resilient settlements, such as school buildings built with locally available materials in Mozambique which can offer shelter to communities in case of floods or cyclones; (iii) rooting sustainable development and desert prevention in

[2] Ibid

Bobo Dioulasso, Burkina Faso, through participatory sanitation improvement and afforestation; (iv) sustainable resettlement and reconstruction in flood-prone peri-urban areas in Saint Louis, Senegal; and (v) youth Initiative to sustain mangroves and livelihoods in Mombasa (Kenya).

In this spirit, UN-Habitat and DiMSUR have recently developed the City Resilience Action Planning (CityRAP) Tool which is currently being tested and implemented in several cities in sub-Saharan Africa[3]. The main objective of the tool is to enable local governments of small to intermediate sized cities to understand risks and plan practical actions to progressively build urban resilience. The CityRAP Tool targets local governments with none to limited experience in risk reduction and resilience planning. The output of the tool is a City Resilience Action Plan, based on local government self-assessments, participatory risk mapping exercises, and cross-sectorial action planning by the local government engaging relevant stakeholders, most importantly, communities themselves.

In the context of this project, three cities or towns per country have been selected in coordination with the concerned national authorities to implement the planned activities, according to the following criteria:

- High exposure to recurrent climate-related hazards (e.g. floods, cyclones, drought, sea erosion, etc.), whose impacts are worsen by the effects of climate change;
- Low institutional and financial capacity of the concerned local authorities;
- Cities/towns in which UN-Habitat and DiMSUR have already engaged in a recent past, or are still engaged, which present good conditions for establishing partnerships and ensuring lasting project's impacts.

In Madagascar, three coastal towns, namely*:* (i) Morondava (60,000 inhabitants): highly exposed to the cyclones coming from the Mozambique Channel and to subsequent flooding, subject to sea erosion and salinization of drinking water, with severe sanitation problems, and targeted by the NAPA; (ii) Antalaha (130,000 inhabitants): also exposed to cyclones, flooding and sea erosion, whose effects are exacerbated by the problem of deforestation; and (iii) Manakara (45,000 inhabitants): highly exposed to flooding, but also to cyclones and sea erosion.

In Malawi: (i) Karonga (50,000 inhabitants): exposed to annual floods, drought and strong winds (including a 6.9 Richter scale earthquake in 2009); (ii) Zomba (140,000 inhabitants): exposed to floods, landsides, strong winds and forest fires; and (iii) Blantyre (900,000 inhabitants): also suffering from floods, landslides and strong winds.

In Mozambique: (i) Chókwè (55,000 inhabitants): highly vulnerable to floods (located along the lower Limpopo River), drought and strong winds; (ii) Vilankulo (30,000 inhabitants): coastal town exposed to cyclones and sea erosion; and (iii) Nacala (250,000 inhabitants): coastal city suffering from severe erosion, flooding and sea erosion.

In the Union of Comoros, similarly as Madagascar, three coastal towns all exposed to sea erosion and flooding (compounded by sea level rise), as well as cyclones: (i) Moroni (60,000 inhabitants), capital city, located in the Island of Grand Comoro; (ii) Mutsamudu (40,000 inhabitants) in the Island of Anjouan; and (iii) Fomboni (15,000 inhabitants) in the Island of Moheli.

Project Objectives:

The overall objective of the programme is to develop capacity and establish conditions at municipal (especially through the implementation of demonstration projects), sub-national (i.e. district, province or region/island within a country) and national level to adapt to the adverse effects of climate change and progressively build urban resilience by applying the Understand, Plan, Act and Manage (UPAM) approach in vulnerable cities and towns of Madagascar, Malawi, Mozambique and the Union of Comoros and, based on lessons learned and inter-country experience sharing, mainstream climate change adaptation and mitigation into urban development policies, strategies and practices in south-eastern Africa.

[3] For more information on DiMSUR and the CityRAP Tool, please consult the website: www.dimsur.org

Programme Components and Financing:

Programme Components	Expected Outcomes	Expected Outputs	Amount (US$)
1. Climate change adaptation planning at the town/city level (12 urban settlements in 4 countries)	Municipal staff, communities and local stakeholders understand climate change induced risks pertaining to their city/town and have identified cross-sectorial actions for adaptation and building resilience	○ 12 City Resilience Action Plans (CityRAPs) showing prioritised and localised actions to adapt and increase resilience to the adverse effects of climate change, with defined responsibilities for each municipal department and local stakeholders in the short, medium and long term, based on municipal self-assessment, community risk mapping and participatory planning ○ 12 in-depth environmental and social vulnerability and risk assessment studies regarding the CityRAPs' prioritised actions to be implemented	1,200,000
2. Assistance with implementation and management of priority investments at the town/city level (12 urban settlements in 4 countries)	Municipal staff, communities and local stakeholders have implemented the identified actions and have acquired the capacity to manage and maintain these	○ Detailed project development, including the definition of responsibilities, for selected prioritised actions targeting mainly poor/informal neighbourhoods ○ Prioritised actions implemented through community involvement in each concerned municipality ○ Training and capacity building delivery targeting municipal staff and community members on urban management /maintenance ○ Assistance with mobilising additional resources for further implementation of the CityRAPs	8,800,000
3. Policy, legal and tool development at the sub-national and national level (4 countries)	Sub-national and national governments have established the conditions for replicating the UPAM approach for climate adaptation and resilience in other urban settlements	○ Climate adaptation tools for urban areas ○ Revised urban legislation and standards for climate adaptation and resilience ○ Policy and strategies promoting climate adaptation and resilience in urban areas ○ Training and awareness raising programmes	3,600,000

4. Lessons learned, inter-country experience sharing and institutional strengthening at the regional level (southern Africa)	• Various local, sub-national and national governments of southern African countries have learned from each other how to mainstream climate change adaptation and mitigation into urban development policies, strategies and practices • The relevance of DiMSUR in the region has increased	○ Lessons learned and best practices captured and disseminated at the regional level ○ Regional workshops for experience sharing among different SADC countries, as well as participation in relevant global conferences (e.g. Resilient Cities Congress) ○ Capacity of DiMSUR, as centre of excellence for urban resilience, strengthened in the region ○ Monitoring, evaluation and reporting on results (e.g. Nairobi Work Programme)	1,200,000
5. Project Execution Cost (9.5%)			1,406,000
6. Total Project Cost			16,206,000
7. Project Cycle Management Fee charged by the Implementing Entity (8.5%)			1,377,510
Amount of Financing Requested			**17,583,510**

Project Calendar:

Milestones	Expected Dates
Start of Project/Programme Implementation	July 1st, 2016
Mid-term Review (if planned)	June 30th, 2018
Project/Programme Closing	December 31st, 2020
Terminal Evaluation	September 30th, 2020

PART II: PROJECT JUSTIFICATION

A. Project components: The project consists of four main components at different levels/scales: municipal/local, sub-national/national, and regional.

Under Component 1, the project intends to empower municipal staff, communities and local stakeholders of 12 vulnerable towns/cities (3 per country) in the understanding and planning process of climate change adaptation up to the identification of selected priority measures. The target urban settlements in each country were selected in coordination with the national authorities, in a balanced and equitable manner, according to the criteria described in the Project Background and Context section. The CityRAP tool will be used to enable the understanding of climate change induced risks and, through a municipal self-assessment and community participation, prioritise actions. The main principle of the tool is bottom up participation and ownership of the resilience action plan by the municipality and the communities, including vulnerable groups. It has been designed as an enabling rather than prescriptive tool. Hence the detail of the concrete adaptation activities the individual cities will plan for cannot be anticipated at this stage. Once the priority actions have been identified, a thorough environmental and social risk assessment will be undertaken for each of them.

Under Component 2, thanks to the project funds, the selected priority actions will be packaged into pilot projects and implemented by the municipalities through community involvement and the support of capable non-governmental organisations (NGOs). Mainly poor/informal neighbourhoods will be targeted. The type of activities

will include, among others: (i) establishment of municipal early warning systems; (ii) design and implementation of detailed urban plans for particularly vulnerable neighbourhoods; (iii) improved urban water and solid waste management; (iv) better drainage conditions and storm/wastewater management; (v) design, construction or retrofitting of public facilities as flood and cyclone shelters; (vi) transport and road infrastructure improvements; (vii) zoning including regulations for limiting development in areas at risk; (viii) slum upgrading; (ix) public light improvement; (x) stimulation of local economic development activities and job creation through adequate technology development, transfer and diffusion; (xi) maintaining and improvement of urban public/green spaces; (xii) protective measures for land/sea erosion control; etc. Importantly, mechanisms will be put in place to ensure the management/maintenance of the pilot projects' outcomes in the longer term. This will be done through adequate delivery of training and capacity building activities and the establishment of proper monitoring systems. In addition, since each targeted municipality will benefit from a clear action plan for building its climate resilience in the short (0-2 years), medium (3-5 years) to the long term (6-10 years), efforts will be made to mobilise additional resources to further support its implementation.

Under component 3, project activities will occur at the sub-national (i.e. district, province or region/island within a country) and national level. In parallel, to the practical implementation of activities at the town/city level, UN-Habitat, particularly through DiMSUR, will continue to developing fit-to-purpose tools for urban climate adaptation and resilience, based on the experience accumulated under Components 1 and 2, and the local, sub-national and national contexts. Importantly, the project will put emphasis in training and institutional capacity development of government officials, especially through the organisation of ad-hoc workshops, with focus on: (i) the development/revision of relevant urban legislation and standards/codes for mainstreaming climate adaptation and resilience; (ii) the formulation of policy and strategies to promote climate adaptation and resilience in urban areas. These activities should result, according to the needs identified in the different countries/areas of intervention, with the following outputs, among others: improved urban land zoning/use regulations; urban water management regulations; legislation to support urban risk reduction and encourage insurance purchasing; finance strategies for urban climate resilience/proofing; national/sub-national urban adaptation plans; policies/strategies for ensuring urban food security and promoting economic diversification; at the micro-regional level: integrated water resource management and coastal zone management; at the national level: awareness raising and integration of best practices into formal education curricula, including on gender issues. Thanks to these activities, conditions at the sub-national and national levels will be established for replicating the UPAM approach for climate adaptation and resilience in other urban settlements, and ensure the sustainability of the project interventions.

Under component 4, the project will focus on how to capture the lessons learned from the implementation of activities at the town/city, sub-national and national level, and package them in a way that they can serve the purpose of inter-country experience sharing, not just among the 4 nations involved in the project, but also at the regional level in southern Africa. This component actually highlights the added-value of promoting a regional initiative instead of implementing projects in individual countries separately. Learning from each other lessons and best practices, in a region affected by similar threats related to the negative consequences of climate change, and where knowledge and capacity for urban climate adaptation and resilience is still much limited, is critical. In addition, the 4 concerned countries are geographically diverse from each other, representing different realities, and thus offering a wide range of tailored and diverse solutions. In this context, DiMSUR will play a strong role as it already embodies a credible institution in the region, with a consolidated presence in the concerned countries. The Centre will work as a repository of the lessons learned and therefore the natural framework for knowledge management and sharing regarding project activities. DiMSUR will therefore be institutionally strengthened under this component, and will also be able, being part of an international network of centres of excellence, to bring in high level expertise from other regions, such as Asia (through the Asian Disaster Preparedness Centre – ADPC) and Latin America. The Southern Africa Development Community (SADC) will also be an important partner in this framework, especially through its Disaster Risk Reduction Unit. Regional workshops will be organised, to bring in more SADC countries and fostering partnership building and inter-country cooperation. Finally, under this component, participation to relevant global conferences (e.g. Resilient Cities Congress) of champions within local, sub-national and national government representatives will be supported, and monitoring, evaluation and reporting on results using global platforms such as the Nairobi Work Programme ensured.

B. Economic, social and environmental benefits, with particular reference to vulnerable communities and groups, including gender considerations, and mitigation strategies in compliance with the Environmental and Social Policy of the Adaptation Fund:

- *Under Components 1 and 2:* Component 2 in particular is the major one of the project in financial terms, and the priority actions expected to be implemented in the targeted towns and cities are all meant to reduce urban risk and build resilience especially for the benefit of the vulnerable communities and groups, mainstreaming gender aspects. In particular, compliance with the Environmental and Social Policy of the Adaptation Fund will be ensured, once the preliminary city resilience action plans will be produced, by performing thorough risk and impact assessments for each pilot project being designed (please refer to the 2nd bullet under the list of Expected Outputs under Component 1, i.e. "12 in-depth environmental and social vulnerability and risk assessment studies regarding the CityRAPs' prioritised actions to be implemented"). In this manner, these prioritised actions under each CityRAP will be implemented in respect to all the required safeguards and the appropriate mitigation strategies will be put in place, as required.

- *Under Components 3 and 4:* the planned activities under these two components are all "soft" in nature and its expected outputs are all meant to serve the purpose of the most vulnerable in terms of urban climate adaptation and resilience, by conferring more economic, environmental and social benefits to the poor, with due consideration to gender issues.

In addition, the hereby proposed project promotes several new and innovative solutions to climate change adaptation, namely:

- The application of the CityRAP Tool, which is a new ground-breaking instrument that targets especially small and medium-sized cities in sub-Saharan Africa with low institutional capacity. As mentioned earlier, it enables local governments to take the lead in the process of understanding the different types of risk affecting their towns/cities. Based on inter-sectoral self-assessment and participatory planning through community/local stakeholders' involvement, the Tool allows to coming up with prioritised climate resilience action plans in the short, medium and long-term. This is rather different from existing tools which rely heavily on outside technical expertise, are too technical in nature and data-hungry, creating a disincentive to local governments in kick-starting a process of resilience planning. As a result, capacity retention among urban stakeholders, from local governments to communities, tends to remain low with these tools and the produced plans are seldom understood and implemented. The CityRAP Tool changes this paradigm, as it was observed during the testing phase carried out in 2015, and generates enthusiasm in the local authorities and stakeholders in actually building urban resilience based on their own understanding and existing capacities. Once the preliminary city RAPs are elaborated based on the Tool, more detailed studies can now be outsources. The difference, this time, is that local governments are in full control and have the confidence that the actions being designed and implemented result from their own prioritisation and decision-making.

- The DiMSUR, a new non-profit and autonomous institution, started by the 4 countries concerned by this project, is gradually consolidating in southern Africa and even in the African region. The Centre focuses on themes which still need much development in the African region, such as urban risk reduction, urban climate adaptation and resilience. The institution provides technical assistance and serves as an exchange platform of good practices, experiences and knowledge between the participating member states. This project will provide a fantastic opportunity to further strengthening DiMSUR's role and outreach.

- Privileging a bottom-up approach, i.e. local experiences are mainstreamed in strategies, policies, plans and regulations at the sub-national, national and regional level. This allows avoiding the prescriptive and somehow "blind" nature typical of top-down initiatives, which define intervention strategies without first duly taking into account local realities and contexts. UN-Habitat's experience in adopting this kind of approach in regional initiatives (e.g. the Global Environment Facility-funded project in the Limpopo River Basin implemented between 2004 and 2007; or the Urban Resilience Project for Lusophone Africa funded through the UN Secretariat Development Account, still on-going) tells that it creates a positive dynamic of participation of the stakeholders at the various level (local, national, regional) for ensuring successful project implementation.

C. Cost-effectiveness: The project will ensure a good level of cost effectiveness by relying on an existing and entrusted institution such as DiMSUR which, under UN-Habitat supervision and support, will take the lead in the regional coordination of activities and making sure that the different actors at the various levels (municipal/local, sub-national, national and regional) establish platforms of collaboration and dialogue with each other. DiMSUR as regional umbrella will enable staff sharing costs and avoid an excessive spread of financial resources to several institutions, as it will work as "glue" between the different project components. Additionally, UN-Habitat, with the support of DiMSUR and international/local NGOs which will provide technical assistance on the ground, will establish Agreements of Cooperation with the different concerned municipalities for executing most activities under Component 2 based on local costs. While Component 4 will be entirely managed under DiMSUR, Component 3 may include fund transfer to national institutions only when required, for carrying out specific planned activities related to national strategies, regulations and plans.

D. Consistency with regional/national sustainable development strategies: At the global level, the project is in line 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". The SDG-11 includes in its targets 11.5 and 11.b reference to disaster risk reduction (especially water-related), climate change mitigation and adaptation. These global frameworks (Sendai and SDGs) are currently being contextualised to the African region.

Again, thanks to DiMSUR which includes in its Executive Board government representatives of the 4 countries concerned by the project who deal with disaster risk reduction (DRR), the project works on strong basis in terms of alignment to country-specific development agendas and prerogatives on what concerns climate adaptation and resilience. Furthermore, existing policies and strategies will be scrutinised at the municipal level when applying the CityRAP Tool and developing the city resilience action plans under Component 1.

E. Compliance with relevant regional technical standards:

Specifically, the project will take into account the following policy frameworks during implementation:

- *At the level of SADC:* the currently valid DRR Strategy has for goal to reduce vulnerability and build the resilience of countries and communities in the region to natural hazards and human induced disasters, and to minimise the socio-economic and human impacts of disasters. It aims at providing a common and harmonised framework for coordinating disaster risk management related activities within the region, with the intention of facilitating the creation and strengthening of capacities by maximising linkages at regional, national and community levels.
- *In Madagascar:* the National Action Plan for Adaptation (NAPA) to climate change aims to empower the country to adopt urgent and immediate adaptation measures, addressing the adverse effects of climate change and targeting particularly five priority sectors: agriculture and livestock, public health, water resources, coastal zones and forestry. The National Strategy for Disaster Management makes reference to early warning systems for cyclones, epidemics, volcanic eruptions and tsunamis. The country is also well advance in terms of improving the construction building codes, especially for public buildings, to become more resistant to cyclones.
- *In Malawi:* the Second Growth and Development Plan (2011-2016) makes clear reference to disaster risk management (DRM) and the need for mainstreaming it into policies, strategies and programmes, developing an integrated early warning system and incorporating DRM in all school curricula. Regarding climate change, the plan makes provisions for, among other aspects: (i) promoting dissemination of climate change information; (ii) developing and harmonising related strategies, policies and legislation; (iii) mainstreaming climate change issues in sectoral policies, plans and programmes; (iv) promoting climate change related education, training, awareness and capacity building; and (v) enhancing implementation of climate change mitigation and adaptation programmes.
- *In Mozambique:* a Disaster Management Law was recently passed (2014) which highlights the need for a decentralised disaster risk management systems, the importance of prevention, mitigation and preparedness of disasters, as well as aspects related to zoning of high risk areas, research capacity and insurance mechanisms. The country has also adopted a national strategy for climate change (2013-2025) with 3 pillars:

(i) climatic risk adaptation and management; (ii) mitigation and low-carbon development; and (iii) cross-cutting issues including: institutional and legal reform, research and capacity development and technology transfer.

- *In the Union of Comoros:* Despite a strong emphasis on disaster preparedness and response, DRR is gradually being integrated into government policies, starting with the Poverty Reduction Strategy Paper. A strategy covering disaster risk management, climate change, integrated management of coastal resources and aspects related with epidemics was approved by the Cabinet. Early warning systems are in place for epidemics, volcanic eruptions, cyclones and tsunamis.

F. Duplication with other funding sources: Despite the existence of initiatives in the 4 targeted countries for climate change adaptation/mitigation and disaster risk reduction (e.g. World Bank, DFID, USAID, UNDP, UNEP, among others), to UN-Habitat's knowledge, none is adopting the approach proposed in this project (bottom-up, from the local level to the national and regional level, and mainstreaming participation in each implementation step) and specifically focusses on urban areas. Some of the pre-selected cities and towns do benefit from donor support, but the approach adopted is different. This stated, UN-Habitat would like to re-assure that no effort will be spared to establish synergies with other initiatives/donors to maximise the project impacts.

G. Learning and knowledge management component to capture and disseminate lessons learned: This is part of Component 3 at the sub-national and national levels, and especially of Component 3 at the regional level. Again the latter is strongly based on DiMSUR, which has as one of its main objectives knowledge management, exchange and dissemination of lessons learned and best practices.

H. Consultative process for project preparation, with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy of the Adaptation Fund: As it can be observed each project component includes a highly consultative and participatory process:

- *Under Components 1 and 2:* the implementation of the UPAM approach at the town/city level, through the CityRAP in particular, includes the full involvement of local authorities and, especially vulnerable communities, in the process of preparation, validation and implementation of the city resilience action plan. Gender aspects and youth will duly be taken into account during the plan preparation, implementation and management, especially by having a proper representation of women at each consultative session.
- *Under Component 3:* the identification and design of tools, policies, strategies, plans and regulations will be done through proper consultation with the concerned national and sub-national authorities. DiMSUR will play a role through its National Focal Points (there are 4, one per country, 2 women and 2 men). Gender issues will be mainstreamed in the outputs to be produced under this component.
- *Under Component 4:* regional workshops will be organised for sharing and disseminating lessons learned and best practices. Again, gender aspects will be taken into consideration both in terms of meeting participants and as part of the contents of the outputs being produced.

I. Justification for funding requested: When excluding the implementing project fee of 10%, it is observed that the project targets 4 countries over 4 years for a total of almost US$15 million, averaging to a budget of less than US$1 million per year per country. When considering that in each country 3 towns/cities will be targeted, and that more than half of the budget will go to physical implementation of climate adaptive measures, it is UN-Habitat's opinion that the amount required is reasonable and will have an important impact in the selected urban areas. The budget reserved to regional activities is equivalent to US$1.32 million (including 10% project execution costs), which corresponds to US$330,000 per year. This amount will mainly be managed by DiMSUR which will be responsible for implementing the whole of Component 4 (NB: DiMSUR will also be involved through technical assistance in Components 1, 2 and 3). In addition to the great amount of substantive work to be done under Component 4, when considering the costs involved for international travel in Africa and the organisation of regional events, the requested amount also seems to be fairly justified.

J. Sustainability of the project outcomes: The project includes a number of aspects that ensure sustainability:

- *Under Components 1 and 2:* the UPAM approach at the town/city level has the advantage of, through the CityRAP, not only to confer full ownership to the local authorities, communities and stakeholder during the preparation, validation and implementation of the city resilience action plan, but also to include the establishment of the required management and maintenance mechanisms to ensure that the realised actions will last in time.
- *Under Component 3:* the design of tools, policies, strategies, plans and regulations are all elements meant to confer sustainability to the strategic areas of interventions under this project in the long term, as well as creating favourable conditions for the replication of the UPAM approach in other urban settlements in each country.
- *Under Component 4:* sharing and dissemination of lessons learned and best practices, as well as knowledge management, are activities which, under a strong and well-established institution such as DiMSUR, confer additional sustainability to the initiative.

K. Meeting relevant national technical standards, where applicable, and comply with the Environmental and Social Policy of the Adaptation Fund: The project will work in close collaboration with national and local authorities, thus ensuring compliance with all applicable national technical standards, as well as with the Environmental and Social Policy of the Adaptation Fund, as highlighted above. At the full project development stage, a more detailed overview of the identified environmental and social impacts and risks relevant to the project (see table below) will be provided. In addition, it is worth noticing that, since its establishment in 1976, UN-Habitat has been involved in the implementation of a number of construction/"hardware" projects all around the world, especially in post-conflict/disaster countries, and the required environmental/social standards have consistently been applied. For this proposal

Checklist of environmental and social principles	**No further assessment required for compliance**	**Potential impacts and risks – further assessment and management required for compliance**
Compliance with the Law	X	
Access and Equity		X
Marginalized and Vulnerable Groups		X
Human Rights		X
Gender Equity and Women's Empowerment		X
Core Labour Rights	X	
Indigenous Peoples	X	
Involuntary Resettlement		X
Protection of Natural Habitats		X
Conservation of Biological Diversity	X	
Climate Change	X	
Pollution Prevention and Resource Efficiency		X
Public Health	X	
Physical and Cultural Heritage		X
Lands and Soil Conservation		X

PART III: IMPLEMENTATION ARRANGEMENTS

UN-Habitat as the Implementing Entity will be working through different Executing Entities. At the regional level, responsible for Component 4 and with inputs in Components 1 (CityRAP Tool implementation) and 3, DiMSUR will be involved.

Under Components 1 and 2 (the latter being the most important in terms of the project costs), 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. Specifically, it will work with: (i) the municipalities of Morondava, Antalaha and Manakara, and the NGOs DEPAR (Développement et Participation) and CCAP (Carrefour de Consultants, Animateurs, Paysans) in Madagascar; (ii) the municipalities of Karonga, Zomba and Blantyre, and the NGOs Habitat for Humanity and CADECOM (Catholic Development Commission) in Malawi; (iii) the municipalities of Chókwè, Vilankulo and Nacala, and the NGOs World Vision International and Concern in Mozambique; and (iv) the municipalities of Moroni, Mutsamudu and Fomboni, and the NGOs Red Crescent and Ulanga Network in the Union of Comoros.

Meanwhile under Component 3, some funds will be channelled through concerned national institutions at the ministerial level, such as: (i) the Ministry of Territorial Planning and the National Bureau for Disaster Risk Management (BNGRC) in Madagascar; (ii) the Department of Disaster Management Affairs (DoDMA) in Malawi; (iii) the National Institute for Disaster Management (INGC) and the Ministry of Land, Environment and Rural Development (MITADER) in Mozambique; and (iv) the Civil Protection and the Ministry of Territorial Management, Urban Development and Housing in the Union of Comoros.

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

A. Record of endorsement on behalf of the government[4]

Mr. Hery Rakotondravony National Director of the National Bureau for Coordination of Climate Change Ministry of Environment, Ecology, Sea and Forest Antananarivo, Madagascar	Date*: to be obtained imminently*
Mr. Madalo M. Nyambose Secretary for Treasury Ministry of Finance Lilongwe, Malawi	Date*: January 7th, 2016*
Ms. Sheila Afonso Permanent Secretary, Ministry of Land, Environment and Rural Development Maputo, Mozambique	Date*: December 24th, 2015*
Mr. Ismael Mogne Daho Director General of Civil Protection Moroni, Union of Comoros	Date*: December 29th, 2015*

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, commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.	
 *Rafael Tuts* Coordinator, Urban Planning and Design Branch, UN-Habitat	
Date: *January 11th, 2016*	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	

[4] Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.

Telephone: 01 789 355
Telefax: 01 789 173
Telex: 44407
Email:finance@finance.gov.mw

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

Ref. No. DAD/5/1/5 **7th January, 2016**

The Adaptation Fund Board
C/O Adaptation Fund Board Secretariat
E-mail: secretariat@adaptation-fund.org
Fax: 2025223240/5

Dear Sir/Madam,

LETTER OF ENDORSEMENT: BUILDING URBAN CLIMATE RESILIENCE IN SOUTH-EASTERN AFRICA

With rapid and uncontrolled urbanization and increasing urban poverty, climate vulnerability is increasing and exposing many urban dwellers to climate induced disasters. Adapting to the effects of climate change is now a priority of the Government of Malawi. The Government of Malawi has prioritized disaster risk management and climate change adaptation in its medium term national development strategy – the Malawi Growth and Development Strategy (MGDS). The National Disaster Risk Management Policy approved in 2015 and a number of other instruments seek to strengthen Malawi's capacity for disaster risk management and climate change adaptation.

The Government of Malawi together with the Governments of Mozambique, Madagascar and the Union of Comoros, with the facilitation of UN-Habitat have established the Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience in Southern Africa (DIMSUR) – a sub-regional centre for supporting national and local capacities for disaster risk management and climate change adaptation with a particular focus on urban areas which has been the missing link in disaster risk management and climate change adaptation efforts in the sub-region.

It is in the light of the above that the Government of Malawi welcomes and fully endorses the Adaptation Fund concept by UN-Habitat as it addresses the country's disaster risk management and climate change adaptation priorities. The proposal also supports the regional efforts Malawi and its partner countries are undertaking in this area through the DIMSUR.

It is our hope that the proposal can be supported.

Yours faithfully,

MINISTRY OF FINANCE
2016 -01- 07
P.O. BOX 30049
CAPITAL CITY, LILONGWE 3

Madalo M. Nyambose
Adaptation Fund National Designated Official
For: **SECRETARY TO THE TREASURY**

ADAPTATION FUND

Letter of Endorsement by Government

REPUBLIC OF MOZAMBIQUE
MINISTRY OF LAND, ENVIRONMENT AND RURAL DEVELOPMENT

24th December 2015

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

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 UN-Habitat and executed by national and local executing entity.

Sincerely,

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

UNION DES COMORES

Unité - Solidarité - Développement

MINISTERE DEL'INTERIEUR, DE L'INFORMATION, DE LA DECENTRALISATION, CHARGE DES RELATIONS AVEC LES INSTITUTIONS

DIRECTION GENERALE DE LA SECURITE CIVILE

Moroni, le 29/12/2015

N° 015-74 /DGSC-DG

À:
Le Fond d'Adaptation
c/o
Secrétaire du Conseil du Fond d'Adaptation
Email: secretariat@adaptation-fund.org
Fax : 202 522 3240/5

Objet : Appui au projet/programme « Renforcer la Résilience Urbaine en Afrique australe ».

En tant qu'autorité désignée pour le Fond d'Adaptation au sein de l'Union des Comores, je confirme que la proposition du projet régional mentionnée ci-dessus est conforme aux priorités régionales du Gouvernement concernant la mise en œuvre d'activités visant à promouvoir l'adaptation pour réduire les impacts et les risques provoqués par les changements climatiques en Union des Comores et en Afrique australe.

Ainsi, j'ai le plaisir de soutenir la proposition de ce projet avec l'appui du Fond d'Adaptation. Si le projet est adopté, il sera mis en œuvre par le Programme des Nations Unies pour les Etablissements Humains (UN-Habitat) et exécuté par le Centre Technique pour la Réduction des Risques de Catastrophe, la Durabilité et la Résilience Urbaine (DiMSUR) en partenariat avec les ONGs et les municipalités des quatre pays.

Je vous prie d'agréer, Madame, Monsieur, l'expression de mes sentiments distingués.

Le Directeur Général

DIRECTION GENERALE DE LA SECURITE CIVILE ★ Le Directeur ★

Le colonel Ismael MOGNE DAHO