**undp3**

**United Nations Development Programme**

**Regional: Caribbean**

**PROJECT DOCUMENT**

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| **Project Title: Project for Japan-Caribbean Climate Change Partnership** | | | |
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| **UNDP Strategic Plan Primary Outcome:**  1) Growth and Development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded;  2) Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters including climate change | | | |
| **Expected Regional Outcome(s):**    1) Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded ***(SP outcome 1)*.**  4) Regional Programme Outcome 4. Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change ***(SP outcome 5)*.** | | | |
| **Expected Regional Output (s):**  Output 1.4. Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented*(SP output 1.4)*  Output 1.5. Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy**)** *(SP output 1.5)*  Output 4.3. Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels*(SP output 5.2)* | | | |
| **Executing Entity/Implementing Partner:** UNDP | |  | |
| **Implementing Entity/Responsible Partners:** UNDP Country Offices **–** Barbados and OECS, Guyana, Jamaica, Belize and Suriname | | |  |

Total resources required US$15,000.000

Total allocated resources: US$15,000.000

* Other:
  + Japan US$15,000,000

In-kind contributions Not- Applicable

Programme Period: 2014 - 2016

Atlas Award ID: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Project ID: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Start date: September 2014

End Date August 2017

Management Arrangements: DIM

PAC Meeting Date : July 2014

Agreed by (Government of Japan):

Date/Month/Year

Agreed by (UNDP): Date/Month/Year

Date/Month/Year

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## Annex 1: Visibility and Communications Plan

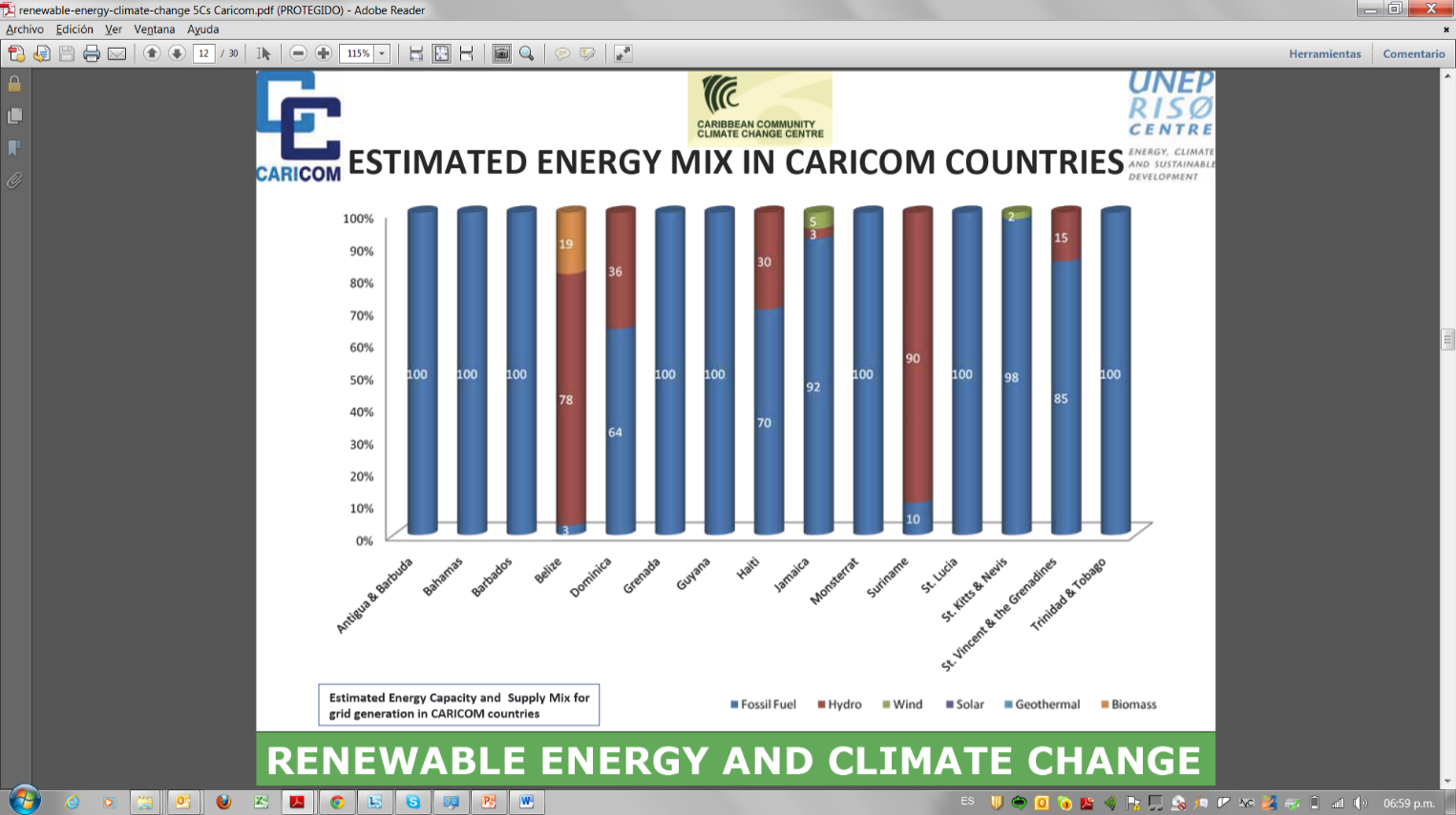
## Annex 2. Risk Analysis

**Annex 3. Standard 2: Climate Change Mitigation and Adaptation**

# 1. Situation analysis

## 1.1. Environment and Climate Change Context

1. Caribbean countries share similar economic and sustainable development challenges, including a small but rapidly growing population, remoteness, susceptibility to natural disasters, and most importantly, vulnerability to climate change. Climate change could significantly increase the risk of hurricanes and storms in the Caribbean and threaten future development in the region. Damage from wind, storm surge and inland flooding already amounts to 6% of GDP per year in some countries and annual expected losses could rise by another 1 to 3% of GDP by 2030. Negative impacts associated with climate change on land, water resources and biodiversity have also been predicted, and ultimately, tourism and agriculture will be negatively impacted by these changes.
2. At the same time, the Caribbean region is ***highly dependent on imported fossil fuels and mostly consists of isolated electricity grids with limited possibilities for interconnection***. Not only are many of the systems old and inefficient, demand often exceeds supply capacity making them prone to failure resulting in black and brownouts, in particular during extreme weather. Not only does this make the region extremely vulnerable to high and volatile oil prices but it also limits options for managing climate change risks as they unfold over time. In 2006, oil imports accounted for 11% of the GDP of the region[[1]](#footnote-2). This ratio is even much larger for some countries, where for example the oil trade balance as a percentage of GDP in Guyana is higher than 30%[[2]](#footnote-3). Over-reliance on imported fuels makes the region extremely vulnerable to high and volatile oil prices, in addition to contributing to greenhouse gas emissions (though less significantly than developed economies). Persistent and long-term high prices for oil on the world markets lead to unaffordable energy prices which in turn inhibit economic growth, investment and efforts to reduce poverty. Despite the high costs of electricity, on average around US$ 0.33 cents per kWh, demand continues to grow at an average annual rate of 3.7% in the region. In absolute terms, the Caribbean’s relative contribution to Greenhouse Gas (GHG) Emission is small; however, in terms of GHG emission per capita, the average exceeds both South and Central America[[3]](#footnote-4). Trinidad & Tobago has amongst the highest per capita GHG intensity in the world. The importance of fossil fuel in the energy mix results (see Figure 1, below) in a carbon intensive electricity grid and high grid emission factor in the region[[4]](#footnote-5):

*Figure 1. Estimated energy mix in the CARICOM countries:*

Source: CARICOM, 5Cs, 2011

1. In addition, climate change data indicate an approximate increase in sea surface temperature of about 0.6°C (above the global mean temperature in the 20th century) and a mean sea level rise over the past century between 2 and 6 mm per year. Under this current scenario sea level rise (SLR) will inevitably lead to accelerated coastal erosion, increased flood risk, salinization of water resources and in some areas permanent loss of land. With 90% of the Caribbean Small Island Developing States (SIDS) population residing along the coast, including critical infrastructure assets, the need for well-devised and concerted action is imperative. While the severity of impacts varies from country to country, there is a common vision of priority concerns directly linked to climate change across the Caribbean coupled with a renewed sense of urgency for transformational change and collective solutions.
2. Climate change could undermine decades of progress and efforts to reach the Millennium Development Goals (MDGs). Recognizing that persistent climate-related liabilities will continue to undermine their potential for sustainable development, Caribbean countries are focusing their post-2015 long-term sustainable development strategies on the principles of climate risk management and resilience building - understood as market transformations based on “adjustments in ecological, social, or economic systems in response to actual or expected climatic stimuli and their effects or impacts”. The priority to invest in measures that result in the necessary market transformations for addressing long-term climate change needs is reflected in the “Barbados Programme of Action (BPoA)” and reaffirmed in the “Mauritius Strategy for the further Implementation of the BPoA (MSI)” as well as the on-going preparatory discussions for the upcoming 2014 Third International SIDS Conference. In addition, the 2012 “Barbados Declaration” included 22 voluntary commitments from Small Island Developing States (SIDS) contributing to the Sustainable Energy for All (SE4ALL) initiative, reiterated at the UNCSD Rio+20 Conference. Various initiatives in the Caribbean are underway in support of these goals, including those from bilateral donors.
3. The 2010 Cancun Agreements on climate change provided that “developing country Parties will take nationally appropriate mitigation actions (NAMAs) in the context of sustainable development, supported and enabled by technology, financing and capacity-building, aimed at achieving a deviation in emissions relative to ‘business as usual’ emissions in 2020.” It differentiates between NAMAs that are domestically supported (unilateral NAMAs) and internationally supported (supported NAMAs) , specifying that both are subject to being measured, reported and verified domestically but that the latter, will be subject to international measurement, reporting and verification (MRV). In the Caribbean region, the Dominican Republic and Dominica are the only countries that have submitted a NAMA to the UNFCCC Registry.
4. At the Seventeenth Session of the Conference of the Parties (COP-17) of the United Nations Framework Convention on Climate Change (UNFCCC) (Durban, December 2011)[[5]](#footnote-6), Parties adopted a decision on National Adaptation Plans (NAP). The new and emerging instruments called National Adaptation Plans (NAP) have yet to take hold in the Caribbean. In terms of national institutions’ capacity on adaptation planning, most Caribbean countries have developed plans for adaptation during the course of National Communications and Technology Needs Assessments. However, most of these plans remain limited to a single ministry domain and therefore climate change is not fully integrated across all economic sectors’ planning. Climate change is usually taken into account in a cursory manner during planning and budgeting process. The required medium- to long-term and cross-sectoral planning that would enable a comprehensive assessment of the benefits and trade-offs of climate change adaptation interventions for society is rarely undertaken.

## 1.2. Long-term solution and barriers to achieving the solution

1. A shift towards renewable energy alternatives, combined with promotion of energy efficiency and conservation, and climate change risk management can produce green, low emission, climate resilient development dividends. This can produce a number of benefits: reducing the energy bill of oil-importing countries, reducing GHG emissions, increasing energy security, and providing increased access to more affordable energy for the poor. It will also reduce the risk for businesses by promoting and supporting climate change risk management in key sectors. Countless examples have shown that once energy is available, communities, the business community and entrepreneurs benefit enormously from services such as light, power, heat, irrigation, new livelihood opportunities and clean air that it brings.
2. ***Lack of awareness, information, technical and policy capacity, and limited funding availability for informing and formulating a low emission strategy on energy for each country in the region*** is one of many reasons that it has been difficult to direct and guide climate change mitigation investments in the Caribbean. The Clean Development Mechanism (CDM) has been considered a potential instrument to trigger such investments but the region has limited success in accessing carbon finance (e.g. Cuba, Dominican Republic and Jamaica were the only countries successful in registering CDM projects). The lack of information and capacity were some of the factors, but also a problem was the size of projects to attract investors, who were mainly interested in emission reductions. Considering market conditions[[6]](#footnote-7) other instruments, such as NAMAs need to be considered. The Caribbean region needs support to prepare and implement NAMAs, in sectors with mitigation potential, which contribute to emission reductions with significant social, economic and environmental co-benefits.
3. At the same time, climate change risks and opportunities are not adequately integrated into planning and budgeting in key sectors and climate change risk management measures are not promoted at scale across the island nations. Current practices are orientated towards reacting to events (including extremes), with limited focus on addressing key issues that underpin adaptive capacity to manage medium and long-term risks and opportunities for key economic sectors and development aspirations, in the face of a changing climate regime.
4. Although Early Warning Systems are in place in the Caribbean, the network of hydro meteorological stations in the region is limited. The hydro meteorological information generated by the existing stations only provides partial data about the region’s hydro-climatic conditions. Not only is the necessary evidence-based data missing, the requisite national strategies, policy environment, technical and institutional capacities to support investment decisions that lead to the required market transformations that will reduce the vulnerability of the economy to climate change risks, to support climate resilient livelihoods, is under developed. While most countries in the Caribbean have been active in formulating policies and strategies relating to adaptation and climate resilience over the past years, there remain substantial gaps and challenges. On the national level, an integrated and strategic approach to embed adaptation into planning tools and policies as well as prioritisation of activities is still lacking.
5. Furthermore***, the coordination between relevant stakeholders as well as evidence-based knowledge on adaptation is weak in the region***. Although sectors like water, agriculture and coastal zone management are highly vulnerable, climate change risks are not yet fully anticipated and adaptation measures are not yet sufficiently tested and promoted in these sectors. This will have long-term effects on food production and options for income-generation for local populations, particularly the rural communities that are the poorest and most vulnerable. Traditional systems of production upon which the most vulnerable communities depend (small-scale agriculture and cattle ranching) will be affected by extreme weather events, and overtime, become increasing difficult as climate conditions change. Crops that once used to thrive will no longer be equally effective. New crops that farmers switch into may not have ready markets to be sold at. Skills required for managing new varieties will need to be developed. This need to promote the production activities that are adapted to the climatic cycles of the region and their associated events is widely recognized by national governments in the region. However, very little concrete adaptation and climate resilience measures on the ground have been implemented in the region. Thus there is significant potential to increase visibility and awareness.
6. Without public finance investments to overcome barriers such as (a) high up-front initial costs of new technologies that generate relevant data, (b) policy frameworks that create the necessary environment for incentives that promote behavioral adjustments; (c) technical and institutional capacities, and many more, the ability of governments and community members to directly address risks associated with climate change will continue to be limited.
7. In addition, the technical and political discussions under the Subsidiary Body on Implementation (SBI) within the UNFCCC has pointed that to support market transformations and investment decisions in the context of medium and long-term climate change adaptation, ***there is a need for climate resilient planning and budgeting to be embedded within the existing annual/periodic planning and budgeting processes of respective countries***. In this context, it will be critical to build on and strengthen existing sectoral and national planning and budgeting processes, strategies or policies in the Caribbean, as well as those already under development, in order to avoid the creation of parallel structures and/or processes, as well as contradictory objectives.. Moreover, ***weak horizontal (cross-sectoral) and vertical (national/sub-national) coordination for advancing climate change adaptation planning for the medium- to long-term*** within the context of national development strategies needs considerable strengthening. Currently, capacities for integrated and multi-sectoral planning and implementation are weak, making an integrated approach to climate change risk management difficult.
8. ***Insufficient human resources with the necessary technical competencies*** has been a structural barrier in the Caribbean, a region that is commonly accepted as having too few appropriately trained personnel in key public sector institutions with the skills and mandates needed to support climate resilient planning and budgeting. As such, NAMA and NAP-specific capacity development needs will have to be integrated into the existing capacity development strategies of relevant agencies/institutions.
9. Furthermore, ***relevant information is needed among national, regional, and local institutions to make climate smart investment decisions***. Climate information must be integrated with key economic, political and social information, systematically analyzed and disseminated to local communities in the form of early warning information that reaches the most vulnerable populations in the area, to policy makers who must create appropriate public policy changes to incentivize behavioral adjustments, to the private sector, including small medium enterprises, individuals as well as larger firms who will need to protect investments, capitalize on new and emerging business opportunities and/or undertake no-regrets investments. This requires systems to be in place to iteratively generate evidence-based information on: i) economic and social vulnerability to current and future climate change; ii) adaptation needs that are also aligned to growth and poverty reduction objectives; and iii) economically and socially viable options in the context of uncertainty in the medium to long-term.
10. Finally, the increased vulnerability of local communities is due in part to ***the lack of adequate on-the-ground experience in promoting resilience to climate change, especially in the context of food security***. Traditional knowledge has not been sufficiently nurtured and combined with appropriate modern information and technologies (e.g. drip irrigation) that will better support a diversified and sustainable supply of agricultural products, contributing to food security and the generation of income for the most vulnerable populations of the region. Without any financial support, these vulnerable populations will continue to rely on production technologies that are not effective in light of fast changing conditions as a result of climate change.

# 2. Strategy

## 2.1. Project Rationale

***Nationally Appropriate Mitigation Actions (NAMAs):***

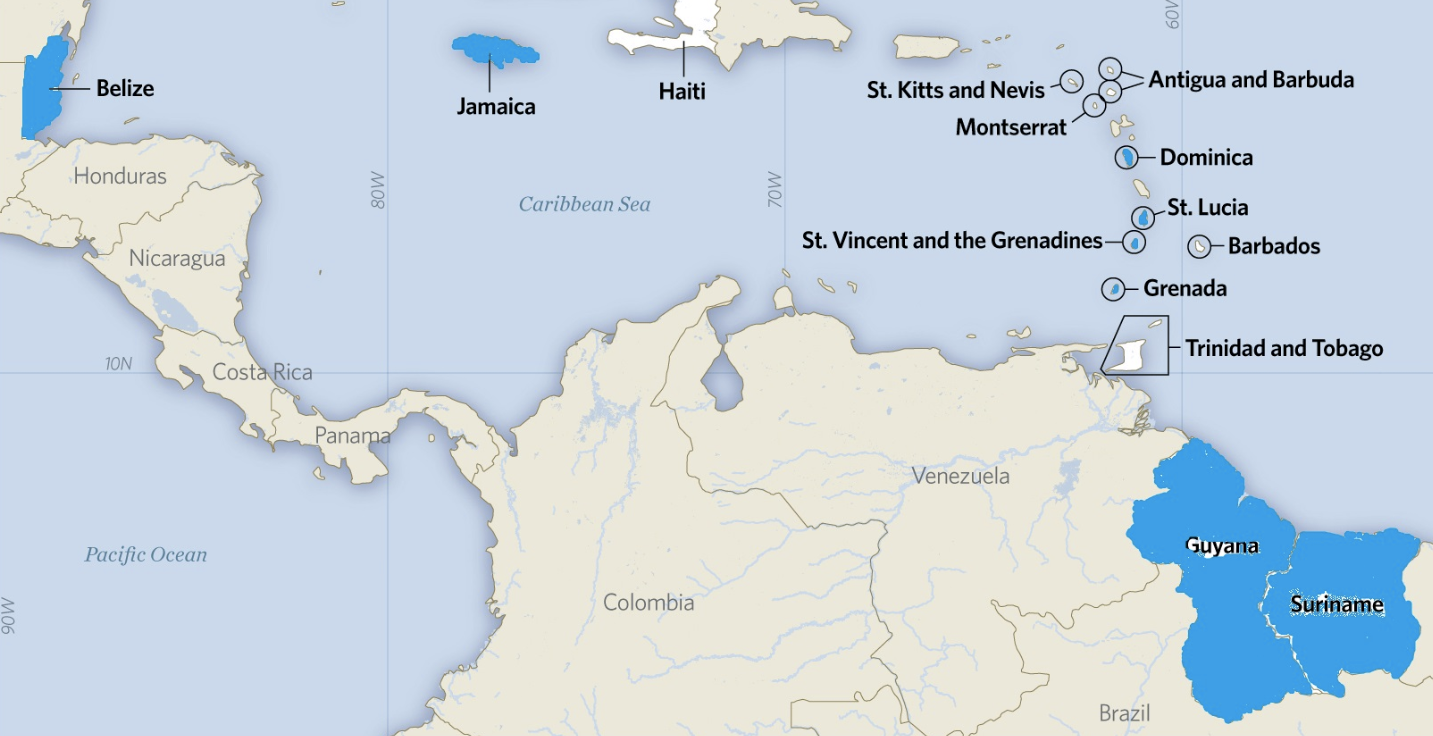
A NAMA is a mitigation action, which is nationally determined and voluntarily taken by a developing country to reduce GHG emissions to levels below those of “business as usual” (BAU). A common characteristic of all NAMAs is that they either constitute a transformational change to a sector of the economy or provide support for such change. Therefore, a NAMA’s point of departure from existing development objectives and priorities might consist of re-evaluating these and placing additional emphasis on options for emissions reduction. NAMAs may consist of a suite of actions, and these might be interrelated horizontally as well as vertically. They may be prioritized at different levels, from the national level down to the sub-sector level. A number of prioritization tools exist designed to strike a balance among a NAMA’s sustainable development benefits, its overall benefits to the economy, its alignment with current policies, its transformational qualities, its financing and its emissions reduction, and possibly other aspects.

1. Universal access to clean energy is an essential enabler of inclusive development, poverty reduction including reduction of the gap between the rich and the poor, green growth and business development, supporting climate change risk management—in short, the achievement of the Millennium Development Goals. Achievement of the sustainable development agenda will not be possible without addressing green, low carbon and climate resilient development needs. An effective entry point is access to an adequate quantity and quality of modern energy services. To generate larger multiplier and spill-over impact on development the sustainable energy projects need to evolve from their ‘traditional’ focus on residential needs towards much broader aims. This will encompass an employment-generating local community development approach by linking energy provision to income generation and productive uses such as those for agriculture and agro-processing, micro-enterprise/small industry, commercial activities and social services like clean water, refrigeration, education and health facilities.
2. In addition to the environmental benefits, the transition to renewable energy could provide important social and economic benefits in stabilizing the cost of electricity, guaranteeing supply and energy security, improving the balance of payment and liberating scarce public funds for social programmes such as health and education. Caribbean nations have committed to move toward renewable energy sources. This commitment was especially highlighted in the Barbados Declaration signed on 9 May 2012 with 22 voluntary commitments of Small Island Developing States to advance towards the Sustainable Energy for All (SE4ALL) goals.
3. These important voluntary commitments were reiterated at Rio+20 and the high-level event on Sustainable Energy for All at the margin of the 67th United Nations General Assembly on 24 September 2012, where Small Island Developing States reiterated their request for support from developed Nations in moving towards achieving these goals.
4. The proposed Project for Japan-Caribbean Climate Change Partnership will bring together policy makers, experts and representatives of communities to encourage ***policy innovation*** for climate technology incubation and diffusion. By doing so, the initiative aims to ensure that the barriers for the implementation of climate resilient technologies, as described above, are addressed and overcome in a participatory and efficient manner. As a result, concrete mitigation and adaption will be implemented on the ground, in line with the countries’ long-term strategies.
5. There is a demonstrated need for modern, clean energy technologies. Policy instruments such as Nationally Appropriate Mitigation Actions (NAMAs) and National Adaptation Plans (NAPs) provide tailored frameworks to expand access to clean energy and to prioritize adaptation measures in diverse sectors, accordingly. They can harness climate finance and help reduce the overall risk environment for potential investors, spurring actual investment in clean energy and adaptation technologies.

***National Adaptation Plans (NAPs):***

In the context of climate change, Caribbean countries need to consider medium- to long-term planning within the framework of national priorities for low emissions and climate resilient development so as to align and sustain growth and poverty reduction. The National Adaptation Plan (NAP) process is one of several processes established to address this need. The NAP process is to be country-driven, continuous, participatory, progressive and iterative, enabling Caribbean countries to identify, finance and implement appropriate medium- to long-term adaptation needs, and to balance sectoral and cross-sectoral priorities, at national, sub-national and local levels. Importantly, the medium- to long-term adaptation planning underpinning the NAPs should be multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and good practices within, and outside, the Caribbean region. The preferred solution is to strengthen appropriate existing institutional frameworks, technical expertise, managerial capacity and decision-making processes within the Caribbean to facilitate the NAP process.

1. In addition, building upon and supported by the NAMAs and NAPs, the initiative will support the ***incubation of climate technology*** into targeted public sectors, private industries, and community groups and enterprises so that green, low-emission climate resilient technologies can be tested, refined, adopted, and sustained as a practical measures to enhance national, sub-national and community level resilience.
2. For example, in order to strengthen the availability of relevant climate information for informing investment decisions that support market transformations required in the context of a changing climate, technologies will need to be upgraded. New hydro-climatological stations as well as refurbishment of old ones will be required including generation of innovative income streams to finance operation and maintenance. Public private partnerships involving Department of Meteorology and mobile phone companies, aviation, shipping will need to be developed. The new automated stations will need to provide data at a significantly greater frequency, recording physical parameters (i.e. rainfall, wind, temperature, etc.), in all weather conditions, day and night all year around. These new stations should also provide accurate and useful data on extremes in climate (i.e., maximum rainfall intensity, maximum wind gusts, etc.) in each country and support existing regional EWS networks. Additionally, the climate change-related information will need to be used to support decision-making at the regional and local levels so that development and land use planning will properly incorporate climate change considerations especially to support resilient agriculture and production practices, and coastal management. This will entail that technical capacities to utilize climate information in investment appraisal (cost benefit/cost effectiveness analysis) and sectoral economics analysis will need to be enhanced.
3. Moreover, it will be important to support concrete, on the ground interventions to enhance communities’ capacities to access renewable energy and adapt to climate change. Finance will be required to promote the use of adaptive agro-silvopastoral practices in the Caribbean to help owners cope with climatic impacts that directly affect crop and cattle production. Support including technical assistance and finance will be required for enhancing ecosystem based (natural) and technological solutions for enhancing resilience in vulnerable areas.
4. In order to ensure that the targeted incubation of climate technology will lead to large-scale, and long-term adoption and diffusion that would enable green low-emission climate resilient development, the Initiative will also establish an innovation ecosystem where the knowledge and skills required for climate technology incubation and diffusion can be co-created and shared effectively, widely, virally, and/or organically. Here, creative partnerships and collaboration with universities and private sectors both nationally, regionally and internally will be explored.
5. Overall, the Project for Japan-Caribbean Climate Change Partnership is designed to strengthen the capacity of countries in the region to invest in adaptation and mitigation technologies, as prioritized in their NAMAs and NAPs. These technologies will help reduce the aforementioned dependence of the Caribbean on fossil fuel imports, setting the region on a low emission development path; as well as improve the region’s ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond a disaster response to short-term (extreme) events. The facility will help the integration of climate risks and opportunities into economic planning and budgeting across key sectors, e.g. water, energy, agro-forestry, urban/transport *(upstream level)*, which result in concrete adaptation and mitigation technology investments, e.g. solar PV for irrigation and electricity generation, early warning system equipment, solar water heaters, energy efficient lighting *(downstream level)*. It will provide a regional platform for the promotion of low emission and climate resilient technologies for the Caribbean, considering the multi-sector coordination challenges amongst climate change and other stakeholders in the region. It will also bring regional scale to attract and catalyze additional/incremental technology investments, by removing the barriers preventing investment into these applications: *financial* (upfront cost of adaptation/mitigation technologies), *information* (limited awareness of their long-term benefits) and *capacity* (policy/technical, institutional and individual constraints to embrace these technologies).
6. The Project for Japan-Caribbean Climate Change Partnership will target the following eight (8) Eastern Caribbean Countries: **Dominica**, **Grenada**, **Saint Lucia**, **Saint Vincent and the Grenadines**, **Guyana**, **Jamaica**, **Belize and Suriname** (See section 2.3 “Geographic Scope” for selection criteria details).



The selection of the beneficiaries of upstream (Government officers) and downstream activities (community level) will be carried out with the support of diverse Ministries within each country, given priority to most vulnerable community members and respecting local process of social organization and related to national and sub-national legal frameworks and development and poverty national plans. The **current estimated number of total beneficiaries of this project is 200,000 people in 50 communities and towns across the 8 selected Caribbean countries**, however, the number will be updated after the detailed project implementation plan is prepared during project start-up period.

## 2.2. Policy Conformity

### Alignment with Caribbean Policies

1. The Initiative will focus on scaling up opportunities to expand the access to clean energy and promote adaptation technologies and measures in the Caribbean, as strategic entry points for accelerating MDG progress with their large multiplier and spill-over effects.

***Alignment with UNDP Strategic Priorities and Comparative Advantage***

1. UNDP’s new strategic plan (2014-2017) is focused on helping countries to move towards sustainable development goals, to simultaneously eradicate poverty and make significant reduction of inequalities and exclusion. It recognizes that climate change may have potentially catastrophic consequences, most of all for the poor and explicitly emphasizes the need to support countries with integrating low-emission, climate-resilient objectives into national and sectoral development plans and identifying priority mitigation and/or adaptation measures; reforms that reduce investment risk and offer improved incentives for adaptation and mitigation responses that can work over the medium to long term; implementation of measures to reduce vulnerability and increase adaptive capacity across affected sectors; and development of capacities to access (including through direct access), deliver, monitor, report on and verify the use of climate finances. In addition, the plan is making explicit emphasis on the need to adopt inclusive and sustainable solutions to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy).
2. UNDP also recognizes the role of partners as well as the significant potential that exists for mutually beneficial cooperation on important global and regional development issues. Bilateral development partners have made strong endorsements to help development throughout the world. Such partners include countries like Japan, Spain, Germany, Canada, and many other contributors. The Government of Japan has already invested in an effective programme on adaptation in Africa, namely the UNDP-GOJ Africa Adaptation Programme.

UNDP’s strength relies on its universal presence, that includes an up-to-date intellectual outlook, a proven ability to influence policy and build capacity, a long-standing role as trusted partner working across sectors and with multiple stakeholders, often on sensitive issues, and a large country office network, including SIDS countries. UNDP focuses its support to Caribbean SIDS in three areas:

* Advocacy, specifically in vulnerability to climate change, sea level rise and global warming.
* Capacity building for regional institutions such as CARICOM and OECS; and Climate Change Negotiating Capacities.
* Programming in Thematic Areas.

1. Support towards mitigation and adaptation to climate change is entirely compatible with UNDP’s mandate of pursuing development. Working on these issues over the past two decades, indicated that the right mix of policies, skills, and incentives can influence behavior and encourage investments, in order to help reduce greenhouse gas emissions. The provided assistance included the formulation and implementation of green, low-emission and climate-resilient development strategies.
2. Another area where UNDP is directing many efforts is on access to sustainable sources of clean, reliable and affordable energy, through an integrated development approach, as well as strengthening national capacities on integrated waste management, including waste prevention, reuse and recycling, and disposing a range of waste streams. In this regard UNDP is seeking to enhance development partnerships with funding for improved sustainable energy solutions targeting underserved communities and groups. For instance, with funding from the Global Environment Facility (GEF), UNDP is promoting change in energy efficiency and modern energy coverage for a wide range of users in a variety of sectors.
3. UNDP has supported the implementation, currently assists with the execution or is programming in most of the countries initially selected. For instance, in the OECS region, the **St. Vincent and the Grenadines’ “Promoting Access to Clean Energy Services” proposal funded by the GEF ($1.8m)** is catalyzing additional funding for renewable energy developments, including hydropower, potentially geothermal and particularly solar technologies (e.g. the country’s new airport is expected to include solar photovoltaic installations). The **Dominica Energy Efficiency & Solar PV promotes low carbon development ($1.8m)**. The project sustainability depends on grants being available to cover some of the pilot technology demonstrations. And the **St. Lucia NAMA in the transport sector proposal (under consideration) would focus on some of the upstream work** envisaged for funding under the 6th replenishment of the GEF (GEF-6). It would benefit from downstream activities (e.g. powering the bus routes with Solar PV-EE lightings, procuring fuel emission testing equipment for the government). UNDP and BMUB (Germany) are currently financing in **Grenada, a programme on integrated climate change adaptation strategies ($3.8m**). In addition, Grenada’s government has approached UNDP’s Sub regional office (SRO) in Barbados for NAMA support to “convert government buildings to solar”, which will also be considered for GEF-6 funding along with similar demands for NAMA from the region (e.g. Barbados, St. Vincent and the Grenadines). With the UNFCCC Regional Centre based in Grenada already providing NAMA-related support in the Caribbean, UNDP’s upstream climate change mitigation upstream work would already include key regional partners on board. In addition, the SRO will be supporting the Eastern Caribbean region on Energy Efficient Lighting technologies under the **SIDS DOCK Support Program ($1m),** with baseline activities expected in Barbados, in line with the GEF-funded **Barbados Solar PV initiative for public buildings ($1.8m**), as well as the rest of the OECS (particularly in Dominica and St. Vincent & the Grenadines, with St. Lucia and Grenada scoping their possible involvement). Elsewhere in the Caribbean, UNDP is also supporting energy access in various sectors and locations of relevance to other donors (e.g. Jamaica in the health sector, Guyana in the remote hinterlands), and low emission capacity building (including NAMA-related assistance). Finally, the **$3.7m Caribbean Renewable Energy Development Programme (CREDP)** was implemented by the Energy Programme at the CARICOM Secretariat in Guyana. The GEF funded activities included feasibility studies, knowledge management, and institutional capacity building. The program continued with German-GIZ funding, based out of St. Lucia, in partnership with the OECS Secretariat. All in all, UNDP has significant programming on the ground that combines upstream support with downstream activities. Japan’s funding would boost the impact of these activities.

## 2.3. Design principles and strategic considerations

### Geographic Scope

|  |  |
| --- | --- |
| **CARICOM members country classification as per**  **World Bank Operational Manual** | |
| **Countries income iii:** | Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Lucia, Saint Vincent and the Grenadines. |
| **Countries income iv or above:** | Antigua and Barbuda, Bahamas, Barbados, Saint Kitts and Nevis, Suriname, Trinidad and Tobago. |
| **Organization of Eastern Caribbean States (OECS) members:** | Antigua and Barbuda, *Dominica*, *Grenada*, Montserrat, Saint Kitts and Nevis, *Saint Lucia*, *Saint Vincent and the Grenadines* |

1. The proposed project will target those countries in the CARICOM whose income are classified as category (iii) or category (iV) as per World Bank's Operational Manual, except those counties whose GNI per capita is over 12,275 dollars (Antigua and Barbuda, Bahamas, Barbados, Saint Kitts and Nevis and Trinidad and Tobago). The project will bring complementary benefits to all of the region through South-South cooperation and/or sharing lessons learned (see box).
2. In line with this, the Project for Japan-Caribbean Climate Change Partnership will target the following eight (8) Eastern Caribbean Countries: **Dominica**, **Grenada**, **Saint Lucia**, **Saint Vincent and the Grenadines**, **Guyana**, **Jamaica**, **Belize and Suriname**. The main justification for OECS countries is their relatively lower income level to other countries in the region. In addition, these countries, due to their small size, could hardly justify NAMA and NAP support on a stand-alone basis, but only as part of a homogeneous cluster. It is also noted that the OECS Secretariat is headquartered in St. Lucia, while the UNFCCC Regional Collaboration Centre for the Caribbean is located in Grenada, as potentially relevant partners. Guyana also hosts the CARICOM Secretariat, and by including the country in this initiative, it will be easier to liaise with CARICOM in view of potential scaling up of interventions to its member countries following successful establishment of the initiative and its initial work program. Guyana is a low-lying coastal state in CARICOM highly vulnerable to the impacts of climate change and with 100% fossil fuel dependency. It has a huge interior not currently connected to the grid and very energy insecure. This happens to be the area with the poorest part of the population. Jamaica and Belize are also CARICOM members that are considered SIDS, with medium level income status and highly vulnerable to climate induced disasters. Belize hosts the CARICOM Climate Change Centre (CCCCC), as another relevant partner for this initiative.
3. This approach is considered pragmatic and is informed by the initial level of capitalization of the Initiative. It has the additional advantage to be scale-able and can therefore increase its coverage in the future progressively and in line with additional funding that can be mobilized.

***Public Private Partnerships***

1. This initiative will explore three opportunities to develop public-private relationships that put in place the minimum building blocks for sustaining project results. In this regard, the following three lines of action will be pursued:
2. *Technology Transfer*

In each of the beneficiary countries, support would be provided to enable local communities involved in entrepreneurial initiatives to acquire appropriate technologies in the water, agriculture and energy sectors.

1. *Enabling Public Policies for Private Sector Expansion*

The Project for Japan-Caribbean Climate Change Partnership will promote among beneficiary countries effective experiences of putting in place appropriate policies and fiscal incentives for acquisition of climate-smart technologies to boost key productive sectors such as agriculture, water, and energy.

1. *Knowledge exchange*

Support to local business association to develop linkages with Japan Private Sector through business exchanges, and trade shows to become more aware of technological options that are appropriate for local contexts.

***South-South, North-South Cooperation***

1. From the preparatory field assessment mission undertaken a clear opportunity exists for this initiative to enhance both South-South Cooperation and North-South Cooperation. As a result, the following lines of action would be implemented:
2. Involvement of Government of Japan supported Trainees – the Government of Japan has provided human resource development and training opportunities to many of the countries that will benefit under this initiative. UNDP will ensure that those technical skills are utilized where and when available. A skills mapping and matching of Caribbean nationals available under this initiative will be conducted with the aim of connecting already available expertise in the region to opportunities for sharing those skills either within the country or among countries.
3. Engagement of JICA Volunteers – JICA representatives have offered to make available JICA experts to work in specific sectors that are supported under this project, such as water, energy and waste management. Through strong collaboration with the JICA Regional Office in the Dominica Republic, JICA’s Liaison Office in CARICOM and the JICA field Office in St. Lucia, UNDP’s Project Management Team in Barbados will work closely to identify opportunities for JICA Experts and Volunteers to work alongside local counterparts in the 8 beneficiary countries.
4. Intra-regional Information sharing using CARICOM and OECS – a key principle of this initiative is to support the sharing of information and linking policy to practice through the sharing of experiences across the region on Climate Change adaptation and mitigation. In this regard, both CARICOM and the OECS will serve as knowledge brokers and conduits for disseminating information intra-regionally on the experiences of this initiative. This will help the project management team to identify countries in the region with effective examples that can be shared with other countries that are doing similar initiatives. UNDP will use the framework of the project board but will also use a web-platform identified in the visibility and communications strategy to document this information and expertise exchange among CARICOM and OECS member states.

### Gender Consideration

1. Several gender targets and indicators have been identified in the Results and Resources Framework to ensure that planning takes into account gender needs and impacts and that there is measurement of the likely impacts of this initiative on men and women.
2. This initiative, as a core principal will ensure that gender considerations are fully integrated into Nationally Appropriate Mitigation Plans and National Adaptation Plans. Specifically, all NAMAs and NAPs supported will be assessed to identify the extent to which gender concerns have been taken on board in key sectors. For example, in the area of Integrated Water Resources Management, the decision on where to construct community water storage facility will take into account the length of time women have to travel to access these sites, and will also ensure that opportunities are provided to both young males and females in the training to be provided to equip community members to construct such storage facilities.
3. From the mitigation perspectives, the project will provide opportunities for skills development of both men and women in the training to be provided at a community level for installation and maintenance of solar PV and other technology. At a community level, project will ensure that all community level interventions conduct a gender needs assessment to ensure that community level interventions are gender informed, and provide opportunities for reinforcing positive gender norms. UNDP’s will operationalise its social safeguards by integrating gender concerns in project monitoring activities to ensure that this project does not cause perverse gender impact nor exacerbate tenuous gender relations.
4. In compliance with UNDP Corporate gender strategy, this initiative will provide equal employment opportunities for both men and women.

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## 2.4. Project Objective, Outcomes and Outputs/activities

### Objective

1. The Project for Japan-Caribbean Climate Change Partnership aims to support countries to commence a process of advancing energy security and integrating medium- to long-term planning for adaptation to climate change within, or aligned with, current development planning and budgeting processes.
2. In the pursuit of this objective, the Initiative will support the development of a limited number of NAMAs and NAPs that will help guide Caribbean countries towards a green, low emission and climate resilient development pathway. The Initiative will then also support the implementation of actual technology that is both low emission and advances climate risk management including, demonstration in the target countries. The programme will strengthen institutional and technical capacities in selected countries for iterative development of comprehensive NAMAs and NAPs that are country-driven, and based on existing national/sub-national development priorities, strategies and processes. Each country will be able to tailor the specific assistance it will receive as informed by its priorities and needs.

**Outcome 1:** *NAMAs and NAPs to promote alternative low emission and climate resilient technologies that can support energy and adaptation in Agriculture and Water sectors are formulated and institutionalized.*

1. National and sectoral planning processes, a central means by which public policy responses are formulated, budgeted and implemented, have not systematically incorporated climate change risks and opportunities. Countries now need to consider medium- to long-term planning within the framework of national priorities for low emission and climate resilient development. The primary problem is that these countries do not presently have the required institutional structures, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process to take climate into account in planning. Key constraints include (although not limited to):

- Planning officials are not fully sensitized on the complex nature of climate change impacts.

- Technical officers in line ministries and other government institutions have not had the opportunity to strengthen relevant technical capacities to support climate planning.

- Difficulty in gathering and making good use of accurate climate data for planning purposes and inadequate use and availability of evidence-based methodologies and toolkits.

- Disconnect between political cycles, planning cycles and long-term vision required to address climate change issues, and limited coordination among ministries. Low-emission and climate-resilient development is not considered as top priority.

- Budgetary support is not in place to advance adaptation and mitigation in an integrated manner with baseline development objectives.

- Absence of regional cooperation/communication for knowledge sharing in addressing climate change.

An effective response to the issues identified above will build on a number of relevant national and subnational level initiatives:

1. In terms of national institutions’ capacity on adaptation planning, few Caribbean countries have developed plans for adaptation during the course of National Communications and Technology Needs Assessments. However, most of these plans remain limited to a single ministry domain and therefore climate change is not fully integrated across all economic sectors’ planning. Climate change is usually taken into account in a cursory manner during planning and budgeting process. The required medium- to long-term and cross-sectoral planning that would enable a comprehensive assessment of the benefits and trade-offs of climate change adaptation interventions for society is seldom undertaken.
2. In addition, the Caribbean has made several voluntary commitments in line with the Sustainable Energy for All initiative requiring the development of country capacities to structure and integrate the required efforts and intended mitigation actions under an effective framework.
3. This is in line with the need for support Caribbean governments have expressed to identify and prepare nationally appropriate mitigation actions for submission to the UNFCCC, and assist in their implementation (e.g. at COP-17 in Durban). Most countries are struggling to implement national strategies that decouple carbon emissions from economic growth, particularly considering their high dependency on fossil-fuel energy generation and the hefty electricity bills paid by most Caribbean countries.
4. In this sense, there are a number of relevant baseline initiatives in place in developing countries aimed to strengthen their institutions’ planning capacity to address climate change:

A) *Low-Emission Capacity-Building (LECB) Programme* (UNDP): This project builds capacities in developing countries to design and implement Low Emission Development in the public and/or private sectors.

B) *The Green Climate Fund (GCF) Readiness Programme* (UNDP and UNEP). This programme offers needs-oriented support to countries for preparing themselves to access and manage GCF resources once it is fully operational.

C) *The National Adaptation Plan- Global Support Programme* (UNDP and UNEP). This programme provides targeted technical assistance to developing countries to take initial steps to integrate climate change issues into existing planning and budgeting processes

1. Planning ministries in Caribbean countries rarely have well-organized, user-friendly and robust scientific data and evidence-based technical guidelines on managing climate change risks and/or do not command the requisite national ownership when developing climate policies and strategies. As a result, appropriate measures for medium- to long-term climate change adaptation or mitigation are not included in national, sectoral and local policies and plans. The National Communication process in Caribbean countries has contributed to a basic knowledge on climate change impacts, vulnerability, and appropriate cost-effective, economically-efficient, and socially-appropriate adaptation and mitigation interventions. UNFCCC guidelines developed by CGE for National Communications options exist, which include prioritizing and designing national programmes covering key sectors, but mainstreamed support to operationalize and applying these guidelines is not available. Some baseline initiatives that aim to strengthen countries’ technical capacities on gathering and analysis climate information are:

A) *PROVIA* (UNEP): This programme provides more cohesive and coordinated global research support and accessibility of Vulnerability Impact Assessment knowledge to policy-makers and other stakeholders.

B) *Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation (C3D+ project)* (UNITAR): C3D+ develops and tests tools and methods that help developing countries to make planning decisions that take climate change into account.

C) *Climate Technology Centre and Network (CTCN)* (UNEP): CTCN is the operational component of the UNFCCC Technology Mechanism.

1. Currently, there are limited partnerships, communication and outreach strategies that exist between developing country governments and global and regional institutions, networks and platforms for addressing adaptation needs, in a collaborative manner. Collaboration is necessary in order to exchange lessons on NAP and NAMA development and coordination. South-south exchange is critical as developing countries can identify with each other on common needs, barriers, and problems as well as common solutions and best practices. Some baseline initiatives are currently in place to support North-South and South-South partnerships and communication of lessons learned include:

A) *Global Adaptation Network (GAN*) and its regional wings Asia Pacific Adaptation Network (APAN), Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean (REGATTA) and Africa Adaptation Knowledge Network (AAKNet) (UNEP): This network coordinates and facilitates the exchange of climate change information.

B) *Adaptation Learning Mechanism (ALM)* (UNDP): This platform seeks to provide stakeholders with a common platform for sharing and learning, the ALM bridges knowledge gaps by bringing relevant knowledge and stakeholders together to exchange information, experiences, and expertise.

C) *MDG Carbon Facility (MDG CF) Programme* (UNDP) jointly with the World Bank’s e-Institute and its climate change team are collaborating in a wide range of knowledge management activities on NAMA-related topics, e.g. measurement, reporting and verification (MRV) standards, Programs of Activities (PoAs) and other market and sectoral mechanisms for climate change mitigation evolving from UNDP’s preceding capacity development work under the clean development mechanism (CDM).

1. With the support of financial resources from the Government of Japan, activities will be established with the objective of strengthening institutional and technical capacities for iterative development of comprehensive NAPs and NAMAs in selected Caribbean countries. This will operationalize the request by parties to the COP for the establishment assistance with their long-term adaptation and mitigation planning needs.
2. The National Adaptation Plan (NAP) process established under the Cancun Adaptation Framework (CAF) is one of several processes that created both the political and financial space for countries to make systematic efforts to mainstream climate change into national development planning processes. This process is to be country-driven, continuous, participatory, progressive and iterative, multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and good practices within, and outside, countries. The process will enable developing countries to identify, finance and implement appropriate measures to ensure that medium- to long-term adaptation needs are taken into account in key sectors at national, sub-national and local levels.
3. The support for the development of Nationally Appropriate Mitigation Actions (NAMAs) also emanates from the UNFCCC negotiation process. This assistance also needs to include country-driven processes leading to the identification of opportunities for the design of low emission development strategies (LEDS) in a context of national priorities, MRV systems of the proposed actions to reduce greenhouse gas (GHG) emissions, GHG inventory management systems, and facilitating the design and adoption of mitigation actions in selected priority sections in the Caribbean.
4. Specifically, resources from the Government of Japan will be used to provide institutional support and technical capacity-building related to the NAP and NAMA process. The technical support will be provided to participant Caribbean countries and will be flexible enough to be tailored as per their needs and national circumstances. The proposed activities will build upon the UNDP/UNEP global support programme that is already supporting LDCs and non- LDCs to advance their NAPs, in implementation as of June 2013 and operational since August 2013. In addition, UNDP’s ongoing NAMA assistance under both the MDG CF and LECB programs, as well as GEF-funded initiatives in the region provide a strong baseline for incremental support in this area from Japan.
5. Resources will be used to support selected Caribbean countries to: i) develop national-level roadmaps/ strategies for advancing the NAPs; ii) train technical and policy officers from planning ministries on relevant tools and approaches to advance key steps of the NAP process; iii) establish business-as-usual GHG emission baselines and identify mitigation options in selected sectors relevant for the region; iv) design and implement NAMAs, and establish MRV systems and registries for monitoring purposes; and, v) exchange lessons learned and knowledge through South-South and North-South Cooperation on effective adaptation and mitigation planning, as per the three components of the project.

*Output 1.1. Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress of their implementation.*

Indicative Activities:

* Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process. This will include identifying gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalised on and weaknesses that need to be strengthened)
* Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels
* Identify or strengthen existing country specific coordination mechanism for climate change that will drive the NAP process (Institutional assessments of adaptation relevant ministries to prepare them for climate change adaptation planning which include assessing management arrangements, functional analysis, and proposing upgrading of  institutional arrangements and skills of individual personnel).
* Formulate NAP roadmaps in each country

*Output 1.2. National teams are trained in the use of tools, methods and approaches to advance the NAP process and budgeting, through regional thematic workshops.*

Indicative Activities:

* Undertake a survey to assess the needs and gaps for materials, methods and tools that are relevant for informing the NAP process (Institutional analysis carried out to determine work flows, entry points and points of influence to determine the mainstreaming strategy, stocktaking of available cost, impact and adaptation information undertaken together with quality review and evaluation of effectiveness in mainstreaming CCA.)
* Promote the use of existing training materials, methods and tools on the basis of the needs identified (Climate Public Expenditure and Institutional Reviews completed for priority sectors – agriculture, water, disaster management, rural livelihoods, and food security; Legal, policy and regulatory framework reviews carried out to identify gaps and inconsistencies in incentivising adaptation investments)
* Strengthen leadership within key Ministries by targeting national and sub-national policy-makers (especially in finance, planning and other relevant line Ministries) and other stakeholders, on the importance of medium- to long-term planning and budgeting for adaptation
* Integrate adaptation costing into sector plans and public investment plans through macro and micro-economic analysis, use of economic techniques for trade-off analysis and an economic analysis of policy instruments (against criteria such as costs, benefits, efficiency, equity and political acceptability)
* Tools, methods and guidelines to advance the NAP process are developed/ adopted for low income Caribbean countries in partnership with other agencies and organizations (Plan preparation guidelines issued to sectors by Ministry of Planning include climate change adaptation, budget preparation guidelines issued to sectors by Finance Ministry include climate change adaptation, screening checklists adjusted for approval of MTEFs and annual spending plans and use of CCA performance indicators in budgets, Ministries of Women’s Affairs in association with Ministry of Finance and Planning provide guidelines to sector ministries on using gender disaggregated data in planning, conducting specific assessments on the needs of women and using these in sector adaptation planning and budgeting processes, Gender-checklists prepared by Ministries of Women’s Affairs for sector projects include climate considerations). Efforts will be made to develop technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in usable formats to Caribbean countries, developed in partnership with relevant stakeholders. Effort will also be made to use and build on existing sectoral guidance and support, as is being developed by other organisations, rather than create new ones.
* Training materials prepared for use by Caribbean countries as they commence their respective NAP processes (Priority ministries capacitated to cost of economic losses to GDP due to impacts of climate change in their sectors, National statistical bureaus and line ministries are capacitated and adopt standardized definitions and measurement methodologies for climate relevant indicators in order to measure performance consistently across investments as well as to track progress on CCA relative to the baseline. Every country has different indicators in their National Plan)
* Training delivered on the use of the tools and approaches to advance to medium- to long-term planning process
* Monitoring plans designed and implemented included data collection methods and methodologies to measure CCA causality and impact, participatory and evidence based M&E methods designed in order to promote awareness and ownership among planners and households

*Output 1.3. Business-as-usual greenhouse gas emission baselines established, and climate change mitigation options for selected sectors relevant for the Caribbean region identified.*

Indicative Activities:

* Establishment of GHG inventories for selected interventions in the Caribbean (e.g. public buildings, community-based infrastructure, energy generation and end-use sectors);
* Determination of national and regional reference baseline associated per selected interventions including but not limited to: replacement of inefficient electrical appliances; retrofit of inefficient lighting bulbs and fixtures, installation of solar photovoltaic equipment; mini and micro hydropower electricity generation; or, alternative fuel, waste and biomass uses;
* Development of national marginal abatement cost curves for considered mitigation actions: replacement of inefficient electrical appliances, such as air conditioning units; retrofit of inefficient lighting bulbs and fixtures, installation of solar photovoltaic equipment for disaster risk management purposes, water pumping or agriculture uses (e.g. green houses for crops, irrigation); mini and micro hydropower electricity generation; or, alternative fuel, waste and biomass uses (e.g. in the transport, urban or rural community);
* Barrier analysis for mitigation options selected with NAMAs separated in three categories depending on their characteristics: Unilateral NAMAS, Supported NAMAs and Credited NAMAs. Unilateral NAMAs will include mitigation actions that can be implemented unilaterally by the country, such as measures that have negative costs but need policy reforms to be promoted. The category of Supported NAMAs will be composed of actions that need significant technology transfer and that may have higher costs or entry barriers than high emission technologies or current common practice. The option of Credited NAMAs will also be explored for mitigation actions that could be encouraged through market mechanisms at the national and sub-national level, such as sectoral crediting and sectoral domestic voluntary carbon markets;
* Feasible and consulted NAMAs and regional actions: The implementation of NAMAs and corresponding MRV systems will require a strong capacity and readiness of large set of diverse Caribbean stakeholders, including civil society, the private sector, professional associations, academics, sub-national governments and public institutions. The participation of these stakeholders in the NAMA development process is essential to ensure that the NAMAs are designed with full consideration of Caribbean circumstances.

**Output** *1.4. Design and implementation of NAMAs in the Caribbean with MRV systems and NAMA registries in place to monitor their execution.*

Indicative Activities:

* Policy and financial tools to support the implementation of a mitigation actions program in selected interventions: mitigation actions will be prioritized in the sectors prioritized by the Caribbean (amongst those indicated above), and structured into detailed NAMAs, including the identification and establishment of the instruments that will be used for their implementation. A study to analyze the available policy, regulatory and financial tools to support the implementation of the identified mitigation actions and to estimate their potential impact on emissions will be conducted. The instruments to be assessed will include fiscal incentives, feed in tariffs, concessional credits, guarantee facilities and other mechanisms that can promote mitigation actions;
* Multi-sectorial policy dialogues on potential instruments for the implementation of NAMAs in selected Caribbean interventions: policy dialogue on the potential instruments for the implementation of NAMAs in the selected Caribbean sectors will be supported to ensure a broad stakeholder participation in the selection of appropriate policy instruments for the implementation of NAMAs;
* Coordination mechanisms for NAMA implementation: including national and/or regional registry mechanism for mitigation actions for selected interventions in the Caribbean, and for emission reduction accounting in each sector in partnership with the UNFCCC Regional Centre based in Grenada, the CARICOM Climate Change Centre (5Cs);
* Key parameters (quantitative and qualitative) to define and monitor selected NAMAs, and monitoring plan for the selected NAMAs: specific measurement, reporting and verification (MRV) systems will be established and implemented for the NAMAs selected. The MRV systems will be designed to comply with internationally accepted standards and, in the case of Supported and Credited NAMAs must be accessible to international MRV systems established through the UNFCCC or by countries providing financial support to NAMA implementation. The parameters will allow to monitor precisely the mitigation benefits of the implemented NAMAs in terms of GHG emission reduction, and additional parameters will be selected to evaluate the co-benefits (to be selected once the sectors are confirmed/prioritized, but to include community benefits both in terms of energy as well as access to public services, including water, health, transport and contribution to sustainable livelihoods). A monitoring plan including these parameters will be designed and implemented for the selected NAMAs in conjunction with the implementation of the mitigation actions. Furthermore, national MRV guidelines and standard methodologies for the selected subsectors will be developed;
* Training and certification of MRV and NAMA professionals in the Caribbean: an important aspect of the Japan assistance through this initiative is the learning by doing component. The international framework for climate change is in constant evolution and NAMAs are a central part of Caribbean discussions of the future framework. This initiative will produce key bottom up knowledge on the requirements for effective NAMA implementation in the Caribbean, and will generate important lessons for the international community as the process of defining international guidance for NAMAs and MRV continues to evolve.

**Outcome 2:** *Selected mitigation and adaptation technologies transferred and adopted for low emission and climate resilient development in the Caribbean guided by adopted NAMAs and NAPs*

**Water supply related activities:**

1. From the scoping mission that UNDP undertook in March/April 2014, it emerged that one key priority area of intervention for the Caribbean countries is in the investment of and support to scale up water harvesting systems. Water supply for domestic and industrial use is a recurring issue in the context of water shortages. Some communities rely on natural springs and some households have rainwater-harvesting mechanisms but these are limited and often not used for drinking water.
2. Some households are applying rooftop rainwater harvesting techniques to complement water supply at a household level. While such technologies are seen to have potential for replication, however, currently are restricted to few users and still required quite substantive initial investment costs. Without any support to remove this barrier to adopting a technology that has demonstrated its relevance, its diffusion will be difficult. Without diffusion of the technology, developments in value chains and ultimately in technological advancements that drive down costs, will be slower than necessary. The resources from the Government of Japan will allow this cycle to be broken and promote the widespread adoption of a critical technology for the Caribbean population.
3. In Caribbean countries, innovations for supplementing current water supply through rain water harvesting and securing small and large sources will be pioneered. Affordable climate-resilient community based water harvesting capture; storage and distribution systems will have been designed and built on a demonstration basis. More households will have more secured and climate resilient access to water for household and community uses. The beneficiaries are fully aware of related water and climate risk management matters and are in a position to manage and maintain them effectively.
4. Adapting already existing innovative technologies, a focus will be on water collection during the rainy season and storage for drinking water usage in times of prolonged dry-spells and drought. Site specific interventions will be guided and informed by national climate risk analyses, vulnerability assessments and the documentation of existing coping strategies.
5. Another key area of priority identified during the UNDP scoping mission was Energy in its various forms. In relation to the priority on water, those countries richly endowed with the resource (for instance, Dominica, Guyana or Saint Vincent and the Grenadines) expressed interest in receiving climate technology support in small scale hydropower developments at the community level (both off-grid and, where possible, grid connected applications). The integrated need of this support also emerged very strongly, in particular for countries with water management constraints (e.g. Grenada, St. Lucia), but also across the region.
6. For instance, in the area of climate smart agriculture the application of climate mitigation technologies in support of irrigation (e.g. solar photovoltaic pumping) or crop production (e.g. solar PV panels for greenhouses) was explicitly requested. In addition to climate resilient development at the community level, the promotion of low emission alternatives to support disaster risk management at the national level was also identified (e.g. the application of solar photovoltaic technologies in shelters, community and other public buildings –including schools, hospitals and other public spaces– both in response to disasters and as backup energy source).
7. Finally, given the challenge faced by most Caribbean countries in terms of electricity prices, and their dent on the public sector bill, the use of the same technologies and others (e.g. energy efficient lighting and appliances) in government buildings was also underscored. From a strictly mitigation perspective (GHG reduction) all countries also recognized the need for interventions in sectors with the highest contribution to emissions (i.e. transport, electricity generation).

***Output 2.1*** *Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems)*

1. Resources from the Government of Japan will support the implementation of community-based water harvesting, storage and distribution systems to support the water supply for domestic use and for agriculture use. Proper consideration will be made with regards to materials needed to enhance and maintain the collected water quality, and integrated water resource management applications (e.g. micro/small scale hydropower technology addressing the energy-water-food nexus). One of the best-known techniques is a ferro-cement rooftop catchment systems gather rainwater caught on the roof of a house using gutters and down pipes which lead into a very large (or more) storage container (ideally a ferro-cement tank). The tanks will have to be large and appropriate for long terms storage of water (and big enough to collect a lot of water). Focusing on rain water collection the design of sustainable community reservoirs (Ferro-cement or steal, depending on the local circumstances) with stand-alone roof-top rainwater harvesting systems, as well as gravity fed water distribution mechanisms will be implemented. It is also important that the relevant skills are transferred to local professionals, and that materials used can be sourced locally or at low cost to insure feasibility for later up-scaling of the innovations.

Indicative activities:

* Commission design of innovation technologies and infrastructure
* Construct the rooftop rainwater collection with reservoirs. The system will consist of three basic elements: (i) a collection area which is the effective roof area; (ii) a conveyance system usually consists of gutters or pipes that deliver rainwater falling on the rooftop to cisterns or other storage vessels; (iii) and a storage tank or cistern.
* Establish procedures of maintenance including: (i) the procedure for eliminating the "foul flush" after a long dry spell; (ii) the periodical cleaning of the tank; (iii) the cover of the rainfall collection surfaces to reduce the likelihood of frogs, lizards, mosquitoes, and other pests using the cistern as a breeding ground; and (iv) the chlorination of the cisterns or storage tanks.
* Construct the sustainable community reservoirs with standalone roof-top rainwater harvesting systems, as well as gravity fed water distribution mechanisms.
* Conduct relevant assessments to determine feasibility, cost-effectiveness and due-diligence with respect to environmental and other standards;

**Agriculture related activities:**

1. Activities such as crop improved seed distribution services, improved and extended irrigation, increased agricultural extension advice, increasing the availability of micro-finance to rural farmers need to be scale up in Caribbean countries. These interventions have high adaptive value and to implement new types of interventions that would help communities become resilient to climate change are needed. Many of the interventions being tested currently, such as planting early maturing crops and crop diversification are potentially sustainable under climate change conditions, but better information on sustainability and cost effectiveness is needed to help decision-makers allocate resources to scaling these up.
2. The project will implement high priority interventions within target countries aiming to boost agricultural productivity under changing climatic conditions and improving the income streams of vulnerable farmers. For example, crop diversification is an important response to the impacts of climate changes on subsistence crops. Other interventions (such as soil and water conservation and soil improvement techniques) will rehabilitate degraded lands, allowing the expansion of agricultural activity.
3. Proposed activities will be interlinked to develop and use water harvesting, storage and irrigation facilities to improve agricultural productivity under changing climatic conditions by providing water to humans, livestock and crops. The interventions will aim to build local capacity to ensure that the adaptation measures are sustainable beyond the project lifespan aiming to enhance adaptive capacity by improving livelihoods and reducing food insecurity.
4. Additionally, in order to ensure that interventions are successful and sustainable after the project lifetime, the following activities will be undertaken:

* Continuous monitoring of the i) progress; ii) productivity; iii) feasibility and profitability (using cost-benefit analyses); and iv) acceptability by the farmers of each intervention.
* Capacity will be built (through training) within community-based organizations to ensure continuous monitoring and improved management above and beyond assistance received from extension officers.
* Lessons will be continually captured during the process by knowledge management experts. These will be documented in the form of technical reports as well as in a feasibility analysis, which will be used for lobbying for policy change and catalysing upscaling.
* Public awareness on the benefits of adaptation will be increased though continuous capturing of lessons and their dissemination to the general public.

***Output 2.2*** *Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts.*

1. Increasing water scarcity, shortening of the growing season and increased temperatures will alter crop yields as their ideal climatic zones (in which their optimum growing conditions are found) shift. In order to maintain agricultural productivity, alternative crops which are more suited to changing conditions will be identified (e.g. flood/resistant seeds, drought-tolerant, early maturing or tolerant of water-logging), and cropping practices will be diversified (e.g. planting several different crop types and planting different varieties of the same crop), to insure against widespread crop failure, and address the food-energy nexus (e.g. solar photovoltaic technology in greenhouses for crop production purposes). These measures are of critical importance for improving the adaptive capacity and resilience of communities to climate change.

Indicative activities:

* Train farmers at all the pilot sites on the importance of crop diversification as well as crop diversification techniques as an adaptive measure to climate change (e.g. planting drought tolerant crops, early maturing crops as well as adopting multiple cropping techniques to spread risks).
* Supply farmers with an input pack after successfully completing the training on crop diversification.
* Conduct farm trials to demonstrate alternative crops as climate change adaptive techniques. Local governments will select farmers in the pilot sites on whose farms researchers will conduct the farm trials.
* Facilitate the production of improved seeds within the communities in order to boost accessibility to seed. This will be achieved by training the local cooperatives and farmers on seed production methods so that they can produce seed for sale to the community.
* Assess the suitability of techniques in the pilot sites. This will entail undertaking an economic analysis and performing cost-benefit analyses to ascertain whether crop diversification or the use of drought-resilient / flood tolerant crops are suitable at each site. In addition, this will identify suitable crop species.
* Form farmer/user groups on crop diversification and establish and train management committees of at least 10 members at each site to facilitate and oversee the adoption of alternative crops by the wider community. Five of the committee members will be women. In addition to production methods, training of the committees will include financial, administrative and general business management.

***Output 2.3*** *Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity.*

1. In most Caribbean countries despite having access to water resources, irrigated agriculture is still limited. As a result of the reliance of the agriculture sector on rain-fed agriculture, increasing climate variability is causing a greater frequency of crop failure and concomitant food insecurity.
2. Furthermore, climate change projections outlined in National Communications point to a continued increase in temperature and a change in rainfall patterns, leading to more frequent prolonged floods and sea level rise. Increasing and improving existing rain water storage capacity and irrigation systems to insure against crop failure are therefore a priority.
3. Among the foreseen works undertaken by the project will include: i) building a series of weirs, gabions and dams to capture surface runoff; ii) building reservoirs to store captured water and supply irrigation systems; iii) increasing the capacity of and improving existing irrigation systems; iv) connecting irrigation canals to fields, and v) using solar photovoltaic pumping for irrigation, thus addressing the energy-water-food nexus. Capacity building of the communities will include training in dam, reservoir, weir and irrigation management. Management and performance monitoring will be done by community members while technical backstopping will be provided by the initiative. The participation of community members in all activities and the training provided will establish ownership and ensure that interventions will not fall into disrepair as has previously occurred.

Indicative activities:

* Form farmer/user groups, facilitate the formation of management committees in selected sites (which will comprise at least 10 members, of which at least five will be women) and train the communities and the committees within the pilot sites on group formation and management.
* Train the farmer/user groups on water management, irrigation techniques (such as scheduling), appropriate water extraction methods, irrigated crop production as well as usage of communal water resources.
* Assess the suitability of techniques (e.g. undertake all relevant feasibility (environmental, social and cost-benefit assessments to determine the types of works suitable to the sites).
* Construct canals or other suitable water extraction methods as well as watering points for agriculture and livestock. This may include supply of manual pumps and pipes for irrigation.
* Promote solar photovoltaic pumping technology for irrigation addressing the energy-water-food nexus.
* The project will ensure that an appropriate management and sustainability plans, including cost-recovery, agreed by all stakeholders, is in place.

***Output 2.4*** *Climate resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas.*

1. Subsistence agriculture is practiced by the majority of rural farmers on small plots with few exceptions. When the soil fertility of existing farm plots is exhausted, the land is laid fallow and new plantation land cleared from the virgin bush. Traditional crops are cultivated mainly for domestic use, although surplus products are often sold in the markets. Livestock farming is very popular but practiced through poor grazing land management. There are limited agricultural inputs to soil fertility improvement, crop production supply (seeds, planting material), and irrigation techniques.
2. While some of the current interventions support agricultural production, climate variability and forecasted climate change will hinder the performance of promoted agro-pastoral practices. Many of the promoted strategies, measures and practices are proving to no longer be effective in the face climate change impacts and therefore are requiring additional support. There is an urgent need to ensure that farmers use adapted flood-tolerant seeds, and that the supply chain issues pertaining to crop rotation are also addressed. The means through which to ensure sustainable food supply availability including during increasingly periodic climate induced stress is now debated, as well as how to support traditional herders vulnerable to climate change.
3. The project will support the introduction of innovative measures that increase adaptive capacity to climate change. To ensure sustainability and mainstreaming, the technical entry point in each area will be the existing local organizational frameworks and the existing corresponding local development plans.
4. Agro-pastoral adaptation practices and measures, as well as resilient income generating activities will be supported. This will involve larger or more sophisticated investments in the demonstration of climate resilient technologies and practices and in income-generating activities that are resilient to more frequent and intense food security threats. These on-site investments will not only demonstrate appropriate climate risks management approaches, they will also bring direct relief to the most vulnerable communities.
5. In each country, a participatory and community-centered approach will be adopted, and the project will provide overall guidance (towards climate change resilience) and provide technical and scientific support to the process. The project will support the introduction of innovative measures and the dissemination of traditional practices – both hardware and software – that increase adaptive capacity to climate change.

Indicatives activities:

* Develop and implement agro-pastoral practices and technologies, adaptation investments and climate resilient income generating activities
* Development of short cycle crop varieties resilient to floods, and production and distribution to farmers of improved seeds;
* Promotion of water management and irrigation techniques;
* Promotion of improved agricultural techniques including tied and open ridges, off-season crops, green fallow technologies and soil fertility regeneration technologies;
* Improvement of livestock feeding (pasture management, storage), promotion of livestock feed banks and rehabilitation, restoration and management of pasture corridors.

**Climate resilient and disaster risk management activities:**

1. Household and village level water infrastructure typically includes household- or community-level bore wells, simple gravitational water distribution systems, and some small-scale communal water tanks. Infrastructure in other sectors, such as rural roads, education, health and agriculture are regularly affected by floods and flash-floods and are also damaged or do not function properly or at all due to droughts (especially lack of water supply). Many small-scale village level solutions such as irrigation schemes or water supply for domestic consumption are built using traditional knowledge, which do not take into account increasing climate risks either due to lack of knowledge of insufficient local budgets. Government and donor lead infrastructure development programs follow construction standards that apply business as usual climate scenarios. In many cases this existing investment is already being degraded through increasing climate variability combined with aggravating baseline factors. Given the predicted changing rainfall and temperature patterns in a changing climate this situation will worsen leading to further infrastructure failure and negative effects on livelihoods.
2. Resources from the Government of Japan will be used to upgrade existing infrastructure to meet climate resilience standards and/or to build new climate resilient infrastructure to meet climate resilience standards with a special emphasis in land slide prevention works and community roads. . The selection of such works will be informed by the technical expertise and analysis commissioned by the initiative.
3. Measures could include: (i) improved roadside slope stabilization through additional retaining structures and bio-engineering works; (ii) improved longitudinal and transverse drainage; (iii) strengthening and improvement to damaged and scoured road shoulders; (iv) pavement repairs ranging from localized patching and edge repair, through rehabilitation where the structure has been completely compromised; and, (v) road safety improvements in populated areas such as improvements to footpaths and pedestrian crossings.

***Output 2.5*** *Small-scale infrastructure implemented to reduce climate change and disaster induced losses*

1. Resources from the Government of Japan will support the application of low emission climate resilient technologies. During 1 year of implementation project will focus in training Government staff and communities on community-based infrastructure. Year 2 and 3 will focus on providing inputs to implement these technologies in selected communities. Beneficiaries (sites and communities) will be defined prior project start-up with each Government based on the following priorities, amongst other: (1) community-based infrastructure, including but not limited to solar energy technologies (e.g. solar water heating equipment, solar photovoltaic installations) for backup, storage and alternative on-/off-grid electricity generation for community shelters, health facilities, schools and other government and public buildings used for disaster risk management purposes; and, (2) other low emission climate resilient technology applications will be considered, including but not limited to waste management (e.g. waste-to-energy in urban areas, biomass electricity generation in rural areas).

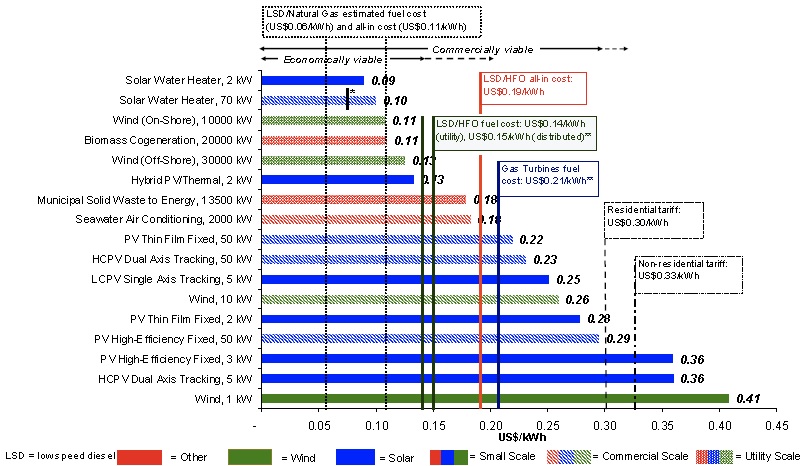
Indicative activities:

* Resources from the Government of Japan will be used to identify risks and responses and to provide and implement recommendations for upgrading and building new small-scale infrastructure resilient to climate change.
* Resources from the Government of Japan will be used for the construction structural measures in selected countries.
* Participatory technical review of the effectiveness of infrastructure activities as an adaptation strategy and its social benefits.

**Output *2.6*** *Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low emission climate resilient technology transfer, development and investments in the Caribbean*

1. Resources from the Government of Japan will support the development, operation and maintenance of national capabilities to: i) ensure safety, energy security and disaster risk response; ii) guarantee access to electricity in emergency situations; and, iii) strengthen human and infrastructure resilience consistent with local content, employment generation and sustainable development strategies so that the Caribbean region reaps the social, economic and environmental benefits of the following sustainable energy technology innovations.
2. While several of these energy technologies may be commercially viable worldwide, not all of them are economically viable in the Caribbean. For instance, using a proposed sustainable energy framework in the eastern Caribbean as a reference (see Figure 2 below) the benchmark for the comparison of cost-efficiency is set at US$0.14/kWh (fuel cost of most efficient conventional plant). This electricity cost compares to the US$0.28/kWh cost of solar PV (which is marginally commercial but not economically viable), which competes with current non-residential tariffs (set at US$0.33/kWh) applicable to public buildings (that is, where a significant part of energy technology installations would take place for adaptation, mitigation and disaster risk response purposes).
3. This output is set to contribute to the reduction of the Caribbean region’s dependence on fossil fuel-generated electricity, particularly during extreme weather occurrences, disaster risk situations and climate change vulnerability, with increased access to cleaner and cost-efficient alternative energy sources (see below indicative activities).

*Figure 2. Renewable Energy Technology Cost Comparison vis-à-vis Conventional Tariffs*

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Source: Castalia and Stantec estimates for the IADB report on the Sustainable Energy Framework for Barbados (2010)

*Indicative activities:*

* Specification and assessment of the technical requirements of selected adaptation, mitigation and disaster risk technology applications appropriate for the Caribbean, including capacity development support for operation, repair and maintenance *(integrated across outputs 2.1-2.6 per the project framework, see Section 3 below)*;
  + **Community based infrastructure**: including solar energy technologies (e.g. solar water heating equipment, solar photovoltaic installations) for backup, storage and alternative on-/off-grid electricity generation and energy efficient lighting and appliances (e.g. LED retrofits, air conditioning replacement, cooling and heating technologies) for community shelters, health facilities, schools and other government and public buildings used for disaster risk management purposes *(for both outputs 2.5-2.6 as prioritized by countries, per the project framework, section 3 below)*;

* + **Climate smart agriculture for sustainable livelihoods**: including solar photovoltaic pumping for irrigation and crop production purposes (e.g. greenhouses), energy efficient eco stoves and alternative fuels at the community level and integrated water resource management applications (micro/small scale hydropower technology addressing the energy-water-food nexus) – *for outputs 2.1-2.3 as prioritized by countries, per the project framework (see section 3 below)*;
  + **Other low emission climate resilient energy technology applications:** including but not limited to waste management (e.g. waste-to-energy in urban areas, biomass electricity generation in rural areas) and sustainable transport (e.g. biofuels, solar powered vehicles) – *for outputs 2.5-2.6 as prioritized by countries, per the project framework (see section 3 below)*.
* Procurement of prioritized energy technology applications for the above selected adaptation, mitigation and disaster risk management interventions;
* Installation, demonstration and application of technologies for adaptation, mitigation and disaster risk management purposes.

**Outcome 3 – Knowledge Network created in Caribbean to foster South-South and North-South cooperation through sharing of experiences, and knowledge in the area of Climate Change.**

1. Equally indispensable to the overall goal of climate resilient development is the availability, accessibility and reliability of relevant data and information. An ‘open-source’ and ‘open-access mechanism should be promoted with regards to data and evidence both of which constitute the essential building blocks of any sound, evidence-based decision-making process. Identifying hazards, assessing vulnerabilities, predicting potential impacts, and choosing the most cost-effective and “no regrets” options to anticipate and/or minimize impacts requires access to the best available data and information. In climate risk management, mal-information or miscalculations can be almost as detrimental as the disasters sought to be avoided.
2. To date, considerable efforts, time, and resources have been expanded in the Caribbean in collecting scientific data, conducting vulnerability assessments, and prioritizing adaptation and risk management options. A disconnect however persists between the data per se and its ultimate objective of informing, shaping, and defining policy-making, monitoring and evaluation, including tracking progress towards climate resilience. A combination of dependable climate based evidence, capacity building and appropriate technologies is thus required to ensure that sound scientific data is: (i) properly analyzed and interpreted, (ii) effectively packaged and “translated” for non-scientists and decision-makers at community, national and regional levels, (iii) efficiently disseminated for improved access and application by all sectors, and (iv) effectively incorporated into revised development strategies and sector-based policies in a coordinated and cohesive manner.
3. This initiative will seek to improve the culture of sharing data, experiences, and lessons learned intra-regionally, but would also provide opportunities for the Caribbean to learn from the advances and experiences of countries such as Japan. This is critical to addressing the need for more effective experiences of how countries could adapt to climate change related impacts and use these experiences to develop policy approaches but at the same time develop sector based interventions to translate these policies into action. In this regard both the CARICOM and OECS Secretariats would be helpful in facilitating knowledge exchanges, scientific data and documenting the lessons of member states from this and other projects in the area of Climate Change.

***Output 3.1*** High level policy events and financial tools to support the implementation of a mitigation actions programs in selected sectors (e.g. fiscal incentives, feed in tariffs, credits and guarantees) and to look at effective practices in NAPs and Community Based Adaptation.

Indicative Activities:

* Three policy forums bringing together representatives of Government, Private Sector, regional and international organisations to review Caribbean experiences on Climate Change

***Output 3.2*** Communication campaign on the benefits of mitigation and adaptation, mitigation and disaster risk management interventions to catalyse low emission technologies for sustainable cities in island towns and communities

Indicative Activities:

* Side event at SBI on Japan-Caribbean Programme in June
* COP side event on Japan-Caribbean Programme including Press Conference
* Annual Forum in Caribbean region on NAPs and NAMAs and sharing of results/impact from Japan-Caribbean Programme
* Launch event at the SIDS Conference on Project for Japan-Caribbean Climate Change Partnership

***Output 3.3*** Japan-Caribbean transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local planning and budgeting processes

Indicative Activities:

* Study visit of Caribbean Officials to Japan to learn about Japan’s experiences in climate Change and Disaster Risk Management.
* Study visit of Caribbean Private Sector to learn more about climate resilient technologies from Japan and their potential application in productive processes.
* Creation/participation in a *climate resilient* technology *transfer, development and investments forum in the Caribbean* that will serve as a knowledge hub/innovation ecosystem.

## 2.5. Sustainability

1. The long-term project viability and sustainability will depend greatly on the ‘ownership’ and on ‘institutionalization’ of the proposed interventions. The project aims at supporting Governments in the Caribbean to support them at the institutional level to support and sustain on-going government efforts to strengthen sub-national capacities in planning, budgeting and implementation climate change adaptation and mitigation measures.
2. From the adaptation perspective, the upstream activities such as the NAPs process will provide capacity building activities to integrate climate risks into planning and budgeting tools at the medium and long term. The downstream adaptation measures that are being proposed in Outcome 2 were previously discussed with Governments in the Caribbean and will be carried out with the support from local communities and national and sub-national governments in the region. Sustainability of on-the-ground activities will be achieved through the active participation of local communities in the implementation of the adaption measures proposed by the project. Community groups, community members, and women participation will be fostered and strengthened through the implementation of concrete adaptation measures that will promote social organization and provide alternatives to better cope with the impacts of climate variability.
3. One of the main targets of the projects is to increment the adaptive capacity for Governments in the Caribbean to address climate risks and opportunities. Adaptive capacity will be strengthened in the following ways:

* Improving institutional coordination between government ministries and departments that will be expected from the NAPs support process.
* Building awareness and a greater understanding of climate change risks and adaptation benefits at all levels (i.e. from community members at the local level to policy-makers at national level) by supporting each country to develop its NAP roadmap.
* Enhancing the technical capacity of stakeholders to integrate adaptation measures by implementing concrete interventions on the ground such as community-based water harvesting, storage and distribution systems, irrigation systems, climate-resilient agroforestry techniques.
* Developing the evidence base to make the case for greater levels of investments in adaptation, and to develop national understanding of which policies and strategies can be expected to provide overall net benefits to economic growth in different sectors.

1. From the mitigation perspective, the upstream activities under the NAMA framework will help the Caribbean region to develop low emission development strategies in line with their national priorities. Meanwhile, the downstream climate change mitigation activities are designed to enhance Caribbean stakeholder knowledge about energy technology investments that can steer their low emission and climate resilient development in a sustainable direction.
2. The Project for Japan-Caribbean Climate Change Partnership Initiative will help ensure that the appropriate conditions are in place for investment in cleaner and more cost-efficient energy technologies by the end of the project. To this effect, the following activities will take place to support sustainability and replication:

* Developing a functional energy technology information centers that both help facilitate investments from the public and private sectors, as well as ensure that knowledge management and awareness rising for civil society is available after project completion.
* Catalyzing finance from alternative sources (e.g. national budgets, other bilateral/multilateral funding windows) to deploy additional energy technology investments that further demonstrate their technical and financial feasibility in the Caribbean, in order to improve local and foreign investor confidence in applications adequate for SIDS.
* Training and development of local installers, technicians and SMEs (including local energy service companies -ESCOs- that would enter into energy saving performance contracts with the public and private sector), in order to ensure that a critical mass of operation, repair and maintenance services are available to provide quality assurance of equipment and retrofits (e.g. solar PV applications, energy efficient appliances and other applications).

1. The sustainability of the project’s benefits will largely depend on the willingness of stakeholders to adopt interventions and continue with them beyond the duration of the project, and the long-term political and financial commitment of policy-makers to provide enabling investment environments for scaling up of successful adaptation and mitigation measures. The upstream and downstream proposed activities, aim at increasing the business case for adaptation and mitigation measures and the importance to integrate climate risk and low emission considerations into planning processes. Through the implementation of pilot adaptation and mitigation initiatives at the community and national levels, this project seeks to have a strong buy-in of adaptation and mitigation interventions from communities and for national and sub-national governments and thus a strong replicability at the community-based level.
2. Outcome 3 dealing with knowledge management has been designed as key part of the sustainability and replicability strategy of the project, through systematically documenting and disseminating good practices in the Caribbean region, linking with academia, NGOs, and relevant initiatives, securing broad dissemination of project results and the transmission of know-how and experience to next generations of community practitioners, government planners and policy makers. The project will make use of the Adaptation Learning Mechanism (ALM) to ensure that the lessons learnt from the project contribute to, and benefit from, experiences in adapting to climate change across the entire UNDP adaptation portfolio. The knowledge center of UNDP’s Low Emission Capacity Building (LECB) programme and the MDG Carbon Facility work on raising awareness on NAMAs, LEDS, GHG and MRV systems will help Caribbean countries apply best practices of sectoral and market mechanisms that help promote energy technology investments.

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## 2.6. Stakeholder Involvement Plan

1. This project was designed after consultation with governments from five of eight beneficiary countries, civil society, CARICOM Secretariat, OECS Secretariat, UNDP/Global Environmental Facility Small Grants Programme in the Eastern Caribbean, UNDP Country Offices, Government of Japan including the Embassy of Japan in Trinidad and Tobago and the Japanese International Cooperation Agency (JICA) representation in Georgetown and Castries. The preparatory phase involved a review and consultation phase over a period of 5 months including a fact finding field mission to conduct a needs assessment in five of the eight beneficiary countries.
2. During the implementation of this initiative, UNDP will continue to consult with key stakeholders. Once implementation commences, UNDP will initiate a series of in-depth discussions in each country to enable government representatives, civil society, academia as well as the donor community to provide their views on the overall scope of the project. These views will be used by the project implementation team to fine tune and devise annual operational work plans that are fully aligned with other ongoing and planned initiatives. Consultations and agreements with key stakeholders including Government as well as communities will be secured prior to implementation. UNDP will use social media and a project website to continuously post reports and updates on the interventions being undertaken. At the Third Conference on Small Island Developing States in Apia, this initiative will be launched and would provide an opportunity for further stakeholder engagement. A project inception workshop will be organised to initiate project activities. On this occasion a detailed annual work-plan will be developed and finalised with the input of all relevant national stakeholders.
3. CARICOM, OECS, JICA, Embassy of Japan, and Governments from Guyana, St. Vincent, St. Lucia, Grenada, St. Vincent and Grenadines, Suriname, Jamaica and Belize will serve as the main stakeholders in this initiative and would be involved in the stewardship and decision making process.

## 2.7. UNDP Safeguards Policies

1. Fundamentally, this project will provide support to its beneficiary countries to become more resilient to Climate Change by integrating anticipated climate impacts into national planning and development processes and demonstrating the application of appropriate technologies that contribute to improved resilience. In this regard, UNDP Social and Environmental Standards and in particular, Standard 2, “Climate Change Mitigation and Adaptation” has been applied and will be continuously adhered to in the implementation of this initiative. A screening of the project during the design phase suggests this is a Category 3a project. That is, potential environmental and social impacts or risks are associated with the project (especially outcome 2) and it is possible to identify these with a reasonable degree of certainty. In some cases, determining the significance of these impacts or risks will require environmental and social assessment which, in turn, will lead to the identification of specific environmental and social management measures that need to be incorporated into the project. In compliance with corporate policy, all project related activities will be screed during project implementation and an appropriate mitigation plan will be developed to ensure minimal environmental and social impacts. The safeguards plan will be reviewed by UNDP Country offices as part of oversight responsibilities outlined below.

# 3. Project Results Framework

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Intended Outcome as stated in the Country Programme Results and Resource Framework:**  **This project will contribute to achieving the following Country Programme Outcome as defined in UNDP Regional Programme for LAC:**  1) Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded ***(SP outcome 1)*.**  4) Regional Programme Outcome 4. Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change ***(SP outcome 5)*.** | | | | | |
| **UNDP Regional Programme Outcome Indicators:**  Outcome 1:  1.3 Annual emissions of carbon dioxide (in million metric tons) (SP indicator 3, outcome 1)  1.4 Coverage of cost-efficient and sustainable energy, disaggregated by energy source and beneficiary, sex, rural/urban and excluded groups (SP indicator 4, outcome 1)  Outcome 4:  Percentage of countries with disaster and climate risk management plans fully funded through national, local and sector development budgets (SP indicator 4, outcome 5) | | | | | |
| **Applicable Key Result Areas (2014-17 Strategic Plan):** Sustainable Development Pathways –Climate Change | | | | | |
| **Applicable Outcomes (2014-17 Strategic Plan):** Outcome 1. Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Outputs 1.4 and Output 1.5) | | | | | |
| **Applicable Outcome Indicators:** | | | | | |
|  | **Indicator** | **Baseline** | **Targets**  **End of Project** | **Source of verification** | **Risks and Assumptions** |
| **Project Objective[[7]](#footnote-8)**  **(equivalent to output in ATLAS)** |  |  |  |  |  |
| **Outcome 1[[8]](#footnote-9)**  Policy Innovation through technology NAMAs and NAPs to promote alternative technologies for mitigation and adaptation in selected sectors in the target Caribbean countries have been designed. | Number of country-specific national and subnational finance strategies building on national systems developed to enable countries with processes to move forward with medium- to long-term climate resilient planning and budgeting process including the use of budget markers to track climate adaptation expenditure.  Number of countries with institutional arrangements and trained capacities in place to advance towards medium- to long-term climate resilient planning and budgeting at national and subnational levels.  Number of countries with Existing Ddetailed NAMAs documentation cleared or approved nationally and/or regionally, coordinating mechamisms for the implementation of LEDS (e.g. NAMA registry, MRV and GHG inventory systems) and certified professionals for MRV, LEDS and NAMA oversight | Some Caribbean countries have developed urgent and immediate plans for adaptation and other related climate change strategies and started their implementation with some having coordination mechanisms in place to integrate them into the development process as well as other elements which could be used for medium- to long-term planning.  Almost all Caribbean countries report on lack of capacity, data, expertise, institutions and financial resources to undertake medium- to long -term orientated impact assessment and adaptation planning.  Only 1 country has submitted a NAMA to UNFCCC | By the end of the project at least 8 Caribbean countries requesting support from this initiative have conducted needs assessments, identified inputs required and finalised NAP roadmaps to advance to medium- to long-term adaptation planning processes.  By the end of the project at least 8 Caribbean countries requesting support from this initiative have trained capacities and clear institutional mandates in place to move towards adaptation planning processes in the context of their development strategies  Eight countries supported under this initiative have submitted NAMAs to UNFCCC | NAP roadmaps  Stocktaking/gap assessment reports submitted to project team  Annual Progress reports to the project steering committee  Surveys conducted at the start of the project to identify individual country capacities and training needs will be assessed throughout the life of the project  Workshop reports  Website  Reports on Case Studies  Semi-annual reports from participating countries | Evolving UNFCCC, Adaptation Committee and LEG guidance continues to support the medium- to long-term adaptation planning process.  Key Government representatives and stakeholders recognise the value engaging in regular debate about the medium- to long-term implication of climate risks and adaptation.  Senior planners and decision-makers continue to recognise the importance of climate change adaptation and are committed to support necessary policy changes.  Countries undertaking the transition process have access to project information.  Tools and approaches developed by the project are considered practical, locally appropriate, innovative, sustainable and cost effective.  Key Government representatives and stakeholders recognize the value of project-related training initiatives. |
| Outputs to deliver Outcome 1:  ***NAPs-related:***  1.1. Technical support towards national and sub-national institutional and coordination arrangements in Caribbean countries to support the formulation of national roadmaps on the NAP process, including elements for monitoring the progress of their implementation..  1.2. National teams are trained in the use of tools, methods and approaches to advance the NAP process and budgeting, through regional thematic workshops.  ***NAMAs-related:***  1.3. Business-as-usual greenhouse gas emission baselines established, and climate change mitigation options for selected sectors relevant for the Caribbean region identified.1.2. CCM options for selected sector identified  1.4. Design and implementation of NAMAs in the Caribbean | | | | | |
| **Outcome 2**  selected mitigation and adaptation technologies transfer and adopted for low emission and climate resilient development in the Caribbean guided by adopted NAMAs and NAPs | Number of water harvesting, storage and distribution systems constructed, with appropriate management (including cost recovery) plans in place, agreed by all stakeholders, for sustainability beyond the project grant.  Number of energy technology pilots taking place by *technology* (e.g. solar water heating, solar photovoltaic, energy efficient lighting, energy efficient appliance), *application* (i.e. community based infrastructure, climate smart agriculture, other low emission climate resilient applications) and *assistance* provided (e.g. procurement, installation, operation, maintenance, financing, training) with appropriate management plans in place, agreed by all stakeholders, for sustainability beyond the project grant  Number of countries that have adopted tested technologies for mitigation and adaptation purposes and developed plans to take to scale | At present, farmers in the pilot sites are not exposed to soil and water conservation techniques.  At present only a few communities are benefiting from energy technology pilots, mainly funded by other donors, with limited or no sustainability in place (i.e. for repair, maintenance after projects end)  None | By year 3, 40 water harvesting, storage and distribution systems have been constructed (including integrated water resource management applications that address the energy-water-food nexus). **\***  By year 3, 40 farmers in 8 countries have adopted water management, irrigation techniques (such as scheduling), appropriate water extraction methods, irrigated crop production techniques. **\***  By year 3, at least 40 solar photovoltaic panels in greenhouses for crop production purposes are installed. **\***  By year 3, at least 40 solar photovoltaic pumping applications for irrigation purposes are installed. **\***  By year 3, at least 40 solar water heating and photovoltaic interventions for backup, storage and alternative on-/off-grid electricity generation for community shelters, health facilities, schools and other government and public buildings used for disaster risk management purposes are piloted. **\***  By year 3, at least 40 LED retrofits and cooling interventions (air conditioning, refrigeration systems) are piloted in government buildings, streets and other public areas. **\***  8 countries have adopted tested technologies and developed national plans to scale-up technology use  **\*** Note: *figures are tentative, to be updated after the detailed project implementation plan is prepared* | Project reports (e.g. trainings, annual performance reports)  Local level assessments at demonstration sites  Farmer surveys  Physical inspections  Field reports  Architectural designs and floor plans  Project reports, official country documents such as national reports | Target population do not see the benefit of new practices.  Low capacities of committees to support the implementation of appropriate climate resilient technologies.  Sufficient awareness on climate change by farmers.  Availability of technical expertise and equipment |
| Outputs to deliver Outcome 2:  2.1. Affordable climate-resilient community-based water harvesting, storage and distribution systems designed, built and rehabilitated in selected target areas (e.g. communal reservoirs, rooftop catchment, rainwater storage tanks and conveyance systems) , and integrated water resource management applications (e.g. micro/small scale hydropower technology addressing the energy-water-food nexus)  2.2. Crop diversification practices tested for their ability to improve resilience of farmers to climate change impacts. Alternative crops which are more suited to changing conditions will be identified (e.g. drought-tolerant, early maturing or tolerant of water-logging), and cropping practices will be diversified (e.g. planting several different crop types and planting different varieties of the same crop), to insure against widespread crop failure, and address the food-energy nexus (e.g. solar photovoltaic technology in greenhouses for crop production purposes)  2.3. Community-based water capacity and irrigation systems improved or developed to test their ability to raise agricultural productivity (e.g. building reservoirs to store captured water and supply irrigation systems; increasing the capacity of and improving existing irrigation systems) and solar photovoltaic pumping for irrigation addressing the energy-water-food nexus)  2.4. Climate resilient agro-pastoral practices and technologies (e.g. water management and soil fertility) demonstrated in selected target areas such as combinations or associations of native tree species (forestry, fodder, and/or fruit) with cattle and/or crops to limit erosion, reverse soil degradation and improve soil fertility.  2.5 Small-scale infrastructure implemented to reduce climate change and disaster induced losses (e.g. weirs, gabions and dams to capture surface runoff, slope stabilization measures, river channelling) , solar energy technologies for backup, storage and alternative on-/off-grid electricity generation and energy efficient lighting and appliances for community shelters, health facilities, schools and other government and public buildings used for disaster risk management purposes)  2.6 Energy pilot demonstrations applied to selected adaptation, mitigation and disaster risk management interventions to catalyse low emission climate resilient technology transfer, development and investments in the Caribbean (e.g. solar water heating equipment, solar photovoltaic installations, LED retrofits, air conditioning replacement, cooling and heating technologies) | | | | | |
| **Outcome 3**  Creation of an innovation ecosystem/knowledge hub for climate technology to promote the exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to advance technology transfer in mitigation and adaptation in the Eastern Caribbean | Existence of a knowledge network in the Caribbean on Climate Change  Number of south-south and north-south partnerships developed | There is no knowledge platform in the Caribbean on Climate Change  0 | Development of a regional knowledge sharing platform on Climate Change in the Caribbean  3 | Reports from workshops/policy dialogues  ICT platform for sharing knowledge and experiences  MOUs, partnership agreements, letter of agreements | That there exists a willingness on the part of Caribbean stakeholders to collaborate in knowledge sharing events and initiatives  That experience and lessons sharing among beneficiary countries will lead to formal partnership for sharing of technical capacity, data and other resources. |
| Outputs to deliver Outcome 3:  3.1. High-level policy events and financial tools to support the implementation of a mitigation actions program in selected sectors (e.g. fiscal incentives, feed in tariffs, credits, guarantees)  3.2. Communication campaign on the benefits of mitigation and adaptation technologies for sustainable cities in island towns and communities  3.3. Japan-Caribbean transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local planning and budgeting processes | | | | | |

# 4. Total budget and workplan

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Outcomes /  Atlas Activity** | **Responsible Party/** | **Fund ID** | **Donor Name** | **Atlas Budgetary Account Code** | **ATLAS Budget Description** | **Amount Year 1 (USD)** | **Amount Year 2 (USD)** | **Amount Year 3 (USD)** | **Total (USD)** |
| **Implementing Agent** |
| **OUTCOME 1:** | **UNDP** | **TBC** | **Japan** | 71200 | International Consultants | 264,000 | 264,000 | 264,000 | 792,000 |
| 71300 | Local Consultants | 336,000 | 336,000 | 336,000 | 1,008,000 |
| 71600 | Travel | 326,667 | 326,667 | 326,667 | 980,000 |
| 73400 | Venue Rental | 2,000 | 2,000 | 2,000 | 6,000 |
| 61300 | Salaries | 198,197 | 172,345 | 172,345 | 542,887 |
| 74500 | Miscellaneous | 14,000 | 14,000 | 7,000 | 35,000 |
|  | **Total Outcome 1** | **1,140,864** | **1,115,012** | **1,108,012** | **3,363,887** |
| **OUTCOME 2:** | **UNDP** | **TBC** | **Japan** | 71200 | International Consultants | 115,200 | 230,400 | 230,400 | 576,000 |
| 71300 | Local Consultants | 57,600 | 115,200 | 115,200 | 288,000 |
| 71600 | Travel | 6,400 | 12,800 | 12,800 | 32,000 |
| 72100 | Service Contract Companies | 177,311 | 394,622 | 394,622 | 966,556 |
| 72300 | Goods and materials | 640,000 | 1,280,000 | 1,280,000 | 3,200,000 |
| 72200 | Equipment and Machinery | 256,000 | 512,000 | 512,000 | 1,280,000 |
| 61300 | Salaries | 198,197 | 172,345 | 172,345 | 542,887 |
| 74500 | Miscellaneous | 10,000 | 10,000 | 10,000 | 30,000 |
|  | **Total Outcome 2** | **1,460,708** | **2,727,367** | **2,727,367** | **6,915,442** |
| **OUTCOME 3:** | **UNDP** | **TBC** | **Japan** | 71200 | International Consultants | 30,000 | 30,000 | 30,000 | 90,000 |
| 71300 | Local Consultants | 108,000 | 108,000 | 108,000 | 324,000 |
| 71600 | Travel | 308,750 | 308,750 | 308,750 | 926,250 |
| 74200 | Audiovisual production | 69,333 | 69,333 | 69,333 | 208,000 |
| 73100 | Rent, utilities | 10,000 | 10,000 | 10,000 | 30,000 |
| 74500 | Miscaleneous | 10,000 | 10,000 | 10,000 | 30,000 |
|  | **Total Outcome 3** | **536,083** | **536,083** | **536,083** | **1,608,250** |
|  |  |  |  | 61100 | Salaries (National) | 60,000 | 60,000 | 60,000 | 180,000 |
| 71200 | International consultant | 94,000 | 84,000 | 84,000 | 262,000 |
| 71300 | Local Consultants | 16,000 | 16,000 | 16,000 | 48,000 |
| 71400 | Service Contract Individuals | 240,000 | 240,000 | 240,000 | 720,000 |
| 71600 | Travel | 150,000 | 150,000 | 150,000 | 450,000 |
| 72200 | Equipment and Machinery | 40,000 | 6,000 | 6,000 | 52,000 |
| 74200 | Audiovisual production | 4,000 | 4,000 | 4,000 | 12,000 |
| 72400 | Communication | 17,900 | 12,600 | 12,600 | 43,100 |
| 74500 | Miscaleneous | 10,000 | 10,000 | 5,876 | 25,876 |
| 74599 | DPC | 69,444 | 69,444 | 69,444 | 208,333 |
|  | **Total Management** | **701,344** | **652,044** | **647,920** | **2,001,309** |
| **General Management Services (8%)** | **UNDP** | **TBC** | **Japan** |  |  | **-** | **-** | **-** | **1,111,111** |
|  |  |  |  | **PROJECT TOTAL** | | **$ 3,838,999** | **$ 5,030,507** | **$ 5,019,382** | **$ 15,000,000** |

# 5. Management Arrangements

The project (PIMS: XXXX; ID: XXXX) is directly aligned with the BDP Global Programme Outcome 4 and will be executed under UNDP’s Direct Implementation Modality (DIM). UNDP’s Sub-Regional Office for the Eastern Caribbean based in Barbados has agreed to function as a Responsible Party for services related to recruitment of project staff and consultants, travel, sub-contracting, organisation of regional workshops. The costs of UNDP Barbados services will be borne from the Project Management Cost budget. UNDP/GEF will delegate spending authority to UNDP Barbados; the budget will be set up by UNDP/GEF under XXXXX. UNDP/GEF will approve the annual work plan budget, and UNDP-Barbados can spend within the approved spending limits.

1. As agreed with Japan, UNDP BDP will provide oversight support services on these specific elements of the “Project for Japan – Caribbean Climate Change Partnership” to the beneficiary Governments of selected countries in the Caribbean region, that will be participating in this project. The project will be overseen by a UNDP-GEF Task Manager while day-to-day management will be undertaken by a Project Manager (Japanese National) who will be recruited and paid for by project (See budget for details on Project Manager salary based on a P-3 level of U.N. scale salary).
2. Funds will flow from GoJ to UNDP for disbursement and project activities at the national level including Government entities, NGOs and/or Other UN Organizations. Potential options include, but are not limited to the CARICOM Secretariat (in Guyana), the OECS Secretariat (in St. Lucia), the Caribbean Development Bank (CDB, headquartered in Barbados), and the UNFCCC Regional Collaboration Centre for the Caribbean (located in Grenada). To harness policy related lessons and facilitate political level engagement CARICOM and OECS will be involved in the Project Board and can provide policy guidance and facilitate political leadership in the process. UNDP RBLAC (HQ) and UNDP-GEF (HQ/Regional Level) will undertake regular oversight of project implementation including annual in-situ monitoring.
3. UNDP will establish a Project Team, referred to as a Project Management Unit (PMU) that will be located in the UNDP Barbados and OECS Office. The PMU that will be entrusted to support the entity to deliver on the outputs outlined in this project document. The PMU will be responsible for the day-to-day management and coordination of the project.
4. The PMU will be comprised, as a minimum, of a full time Project Coordinator, 2xTechnical Officers (cost shared with other UNDP projects) and a dedicated Project Associate. Other short term support may be contracted by the PMU. The PMU will be under the day-to-day guidance from the Energy, Environment and Climate Change Programme Manager of UNDP Barbados and OECS and matrixed to UNDP-GEF. The Project Team will be recruited by UNDP Barbados, under the oversight of UNDP-GEF, and provided the authority to manage components on a daily basis as per the boundaries established by this project document.
5. UNDP-GEF, assuring the overall quality control and oversight for this initiative (especially on substantive results monitoring and financial management), will report to GoJ (via UNDP Japan liaison unit) on an annual basis with the use of Annual Project Implementation Reviews (the first one to be submitted 12 months after the project document has been signed). More frequent updates can also be provided between project performance evaluations in response to any particular requirements or preferences of the donor.
6. Finally, the programme has been designed with an emphasis and ability to disburse quickly from the start. Special efforts will be made for adequate and effective outreach on the results and impacts of the program, throughout its implementation period, including a high profile launch during the 2014 Third International SIDS Conference in Apia, Samoa, media events in Japan and the Caribbean and other events deemed appropriate.

**Project Board**

**Senior Beneficiary**

**CARICOM and OECS Countries**

**Executive**

**UNDP**

**Senior Supplier**

**Government of Japan**

**Project Assurance**

**UNDP-GEF (Panama/HQ) and RBLAC Caribbean Advisor (NY)**

**Project Support Team**

**2 Technical Specialists, Communications, and 1 Project Finance Associate**

**Project Organisation Structure**

**UNDP Belize**

**1 Project Coordinator**

**UNDP Jamaica**

**1 Project Coordinator**

**UNDP Guyana and Suriname**

**1 Project Coordinator based in Guyana**

**Project Manager (P3) located in Barbados**

1. **Project Board** is responsible for making management decisions for a project in particular when guidance is required by the Project Manager. The Project Board plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the Project Board can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans.
2. In order to ensure UNDP’s ultimate accountability for the project results, Project Board decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with the UNDP-GEF Task Manager.
3. Potential members of the Project Board are reviewed and recommended for approval during the PAC meeting. Representatives of other stakeholders can be included in the Board as appropriate. The Board contains three distinct roles, including:
4. **An Executive**: individual representing the project ownership to chair the group. For this project UNDP Resident Coordinator in Barbados and OECS will assume this role.
5. **Senior Supplier**: individual or group representing the interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier’s primary function within the Board is to provide guidance regarding the technical feasibility of the project. UNDP-GEF unit will assume this role.
6. **Senior Beneficiary**: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary’s primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The CARICOM and OECS Secretariats will serve on the Project Board in this capacity.
7. The **Project Assurance** role supports the Project Board Executive by carrying out objective and independent project oversight and monitoring functions. UNDP-GEF unit (including HQ and Region-based Adaptation and Energy, Infrastructure and Transport Specialists) based in Panama will provide quality assurance oversight.

***Project Management and Implementation Team***

1. **Project Manager**: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager’s prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.
2. **Project Support**: The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager.
3. **Technical Specialists**: responsible for technical inputs to all project activities under the Project for Japan-Caribbean Climate Change Partnership, quality assures field activities. He or she is also responsible for providing technical advice and mentoring to project staff and national counterparts, in close coordination with UNDP-GEF and RBLAC oversight staff.
4. **Communications Specialist**: responsible for the implementation of the project visibility and communications strategy and support the project on the knowledge sharing works. He or she will be based in the PMU located in Barbados but will also support project staff in other countries
5. **Project Associate**: responsible for financial reporting, logistical arrangements, administration etc.
6. **Project Coordinators**: 3 project coordinators will be appointed to superintend country based project activities. These individuals will ensure that country level results are achieved within available time and budget. They will work with CO leadership and technical staff to ensure quality project outputs.

**Funding Arrangement (Flows)**

* Funds from GoJ will be transferred to UNDP-GEF
* A detailed regional project work-plan will be developed based on consultations with each beneficiary country
* Each beneficiary country will receive a country allocation under delegated authority that is connected with project activities to be implemented nationally
* Each country will receive a disbursement of the total value allocated for country level activities upon approval of a country level AWP by the Project Manager based in Barbados. The approval of AWP will be done by the Project Manager under delegated authority of Resident Representative of UNDP Barbados and the OECS.
* Financial and narrative reporting will follow UNDP normative process. However, narrative (substantive reports) will need to be collated by Project Manager in coordination with UNDP COs for submission to the Government of Japan.

# 6. Monitoring Framework and Evaluation

1. The project will be monitored through the following M&E activities. The M&E budget is provided in the table below. The M&E framework some outputs will be based on experimental design principles in order to generate evidence based lessons.

**Project start:**

1. A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible UNDP Global/Regional Technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.
2. The Inception Workshop should address a number of key issues including:
3. Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
4. Based on the project results framework and the relevant SOF (e.g. GEF) Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
5. Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
6. Discuss financial reporting procedures and obligations, and arrangements for annual audit.
7. Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.
8. An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

**Quarterly:**

* Progress made shall be monitored in the UNDP Enhanced Results Based Managment Platform.
* Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
* Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
* Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Annually:**

* Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and SOF (e.g. GEF) reporting requirements.

The APR/PIR includes, but is not limited to, reporting on the following:

* Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
* Project outputs delivered per project outcome (annual).
* Lesson learned/good practice.
* AWP and other expenditure reports
* Risk and adaptive management
* ATLAS QPR
* Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

**Periodic Monitoring through site visits:**

1. UNDP Country Office (CO) and the UNDP’s Regional Services Centre (RSC) in Panama (in particular UNDP-GEF RTAs) will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCS and will be circulated no less than one month after the visit to the project team and Project Board members.

**Mid-term of project cycle:**

1. The project will undergo an independent Mid-Term Review at the mid-point of project implementation (insert date). The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project’s term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term Review will be prepared by the UNDP Project Management team based in Barbados in close consultation with the Government of Japan. The management response to the review will be prepared and the project team will need to take actions as outlined in the recommendation.

**End of Project:**

1. An independent Final Terminal Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and GoJ guidance. The final evaluation will focus on the delivery of the project’s results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP Project Management team based on guidance from the RSC and UNDP-GEF.
2. The Final Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center (ERC)](http://erc.undp.org/index.aspx?module=Intra).
3. At the commencement of the last three months of the project’s duration, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project’s results.

**Learning and knowledge sharing:**

1. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. UNDP-ALM will be used for this purpose.
2. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.
3. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:**

Full compliance is required with UNDP’s Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used.

Full compliance is also required with the Government of Japan visibility requirements and strategies.

Any output produced through this project must bear the UNDP and Government of Japan logo. For details on the communications plan for this project, please refer to Annex 1.

**M&E workplan and budget**

| **Type of M&E activity** | **Responsible Parties** | **Budget US$**  *Excluding project team staff time* | **Time frame** |
| --- | --- | --- | --- |
| Inception Workshop and Report | * Project Manager * UNDP Barbados and OECS | Indicative cost: 10,000 | Within first two months of project start up |
| Measurement of Means of Verification of project results. | * Establishment of a M&E framework that is based in theory of change and RCT based principles . | 50, 000 | Start, mid and end of project (during evaluation cycle) and annually when required. |
| Measurement of Means of Verification for Project Progress on *output and implementation* | * Project team | $320,000  (8 countries x 10K x 4 years) | Annually prior to ARR/PIR and to the definition of annual work plans |
| ARR/PIR | * Project manager and team * UNDP Barbados and OECS * UNDP RTA * UNDP EEG | None | Annually |
| Periodic status/ progress reports | * Project manager and team | None | Quarterly |
| Mid-term Evaluation | * Project manager and team * UNDP Barbados and OECS * UNDP RSC * External Consultants (i.e. evaluation team) | 40,000 | At the mid-point of project implementation. |
| Final Evaluation | * Project manager and team, * UNDP Barbados and OECS * UNDP RSC * External Consultants (i.e. evaluation team) | 40,000 | At least three months before the end of project implementation |
| Project Terminal Report | * Project manager and team * UNDP Barbados and OECS * local consultant | 0 | At least three months before the end of the project |
| Audit | * UNDP Barbados and OECS * Project manager and team | 3,000 (12,000 total) | Yearly |
| Visits to field sites | * UNDP CO * UNDP RCU (as appropriate) * Government of Japan representatives | USD 10,000 ($40000 total) | Yearly |
| **TOTAL indicative COST**  Excluding project team staff time and UNDP staff and travel expenses | | US$ 512,000 |  |

## 7. Legal Context

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the [Supplemental Provisions](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof.

This project will be implemented by the agency UNDP in accordance with its financial regulations, rules, practices and procedures.

The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

The UNDP Resident Representative in Barbados and OECS is authorized to effect in writing the following types of revisions to this Project Document, provided that s/he has verified the agreement thereto by the UNDP Headquarters (BPPS and RBLAC) and is assured that other signatories to the Project Document have no objections to the proposed changes:

* Revision of, or addition to, any of the Annexes to the Project Document;
* Revision which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
* Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
* Inclusion of additional attachments only as set out here in the Project Document

# 8. Annexes

## ANNEX I: COMMUNICATIONS AND VISIBILITY PLAN

Effective communication utilizing multiple channels to inform and engage various stakeholders is a key focus of the Project for Japan-Caribbean Climate Change Partnership (CTI). CTI will help advance the use, diffusion and development of climate technology applications in Small Island Developing States of the Caribbean in line with their ongoing efforts under the Nationally Appropriate Mitigation Actions (NAMA) and National Adaptation Plan (NAP) frameworks.

This initiative aims to participate in various awareness raising and knowledge management events in the Caribbean and globally where Japan support for this initiative will be showcased in diverse channels of communications tailored for each audience (See box “CTI Communication Plan).. During the project implementation, various communication channels will be established, activated, and shared in order to support the scale up of technology investment through the dissemination of best practices and lessons learned during their demonstration, deployment and diffusion in the region.

### 1. Project Formulation and Inception Phase

#### Design and Consultation

The initiative will take part in *high-level policy events* involving Caribbean SIDS to solicit relevant stakeholder inputs (government, private sector, civil society), to ensure appropriation by project beneficiaries, and align the initiative with multilateral processes to help raise its strategic profile (e.g. *SIDS 2014 Conference, COP and pre-COP UNFCCC Meetings, GEF 2014 Assembly & Caribbean Constituency Workshops*). It is expected that these interfaces will help build and share knowledge on South-South/North-South climate technology transfer for input into the final project document. To this effect UNDP NY Headquarters, Regional Service Centre for LAC in Panama, the Sub-Regional Office for Barbados & the OECS, and the Guyana, Jamaica, Belize and Suriname Country Offices will participate in SIDS-related meetings, undertake field visits and engage relevant CARICOM technical counterparts.

#### Clearance and Approval

The final project document will require *high-level political engagement nationally (Japan and Caribbean governments)* and *internationally (e.g. UN, GEF and UNFCCC Secretariats)* ahead of its signature. The success of its *launch at the SIDS 2014 Conference in Apia* (Samoa) will be linked to the implementation of a communication campaign. The initiative will use other platforms to position the project and its relevance to promote climate technology investment (e.g. UNFCCC Technology Executive Committee and other NAMA/NAP-related events).

#### Inception and Launch

The start-up of the project upstream (NAMA/NAP institutional capacity strengthening) and downstream (climate technology applications and installations) activities will include the showcase of both adaptation and mitigation technology demonstrations. Once these activities are underway, it will facilitate the communication of the tangible and intangible benefits of these technologies, and how the initiative is contributing to that it in the Caribbean with support from the Government of Japan.

### 2. Project Implementation Phase

#### Communication Tools & Outputs

Through the course of the project period, CTI will utilize multiple communication channels to inform and engage stakeholders of the project. The range of communication channels and platforms envisioned to be utilized in the project include, but not limited to:

* Project brochures
* Project facebook page
* Quarterly newsletters
* Conference presentations
* Publication of Success Stories
* Documentary Video/Audio Visual Materials
* Press interview/ articles
* Policy/Industry briefs
* Awareness raising and/or educational materials for youth

All communication outputs generated through the project will be managed and disseminated through the *Project Website* and *UNDP and/or Adaptation Learning Mechanism Websites*. Wherever appropriate and feasible, local and international media, such as television, magazine, newspapers and professional journals will also be engaged.

Full acknowledgement of the Government of Japan will be given in all of communication products and other relevant materials through the display of logo. The UNDP and Government of Japan logos will appear on all relevant project hardware and other purchases with project funds. The logos of UNDP and Government of Japan should appear on all project publications, knowledge products and will be placed in flags and stickers during workshops and meetings and at project sites.

A diagrammatic overview of CTI Communication Plan during the implementation phase is illustrated in the following page.

#### Mainstreaming Communication into Project Management and Implementation

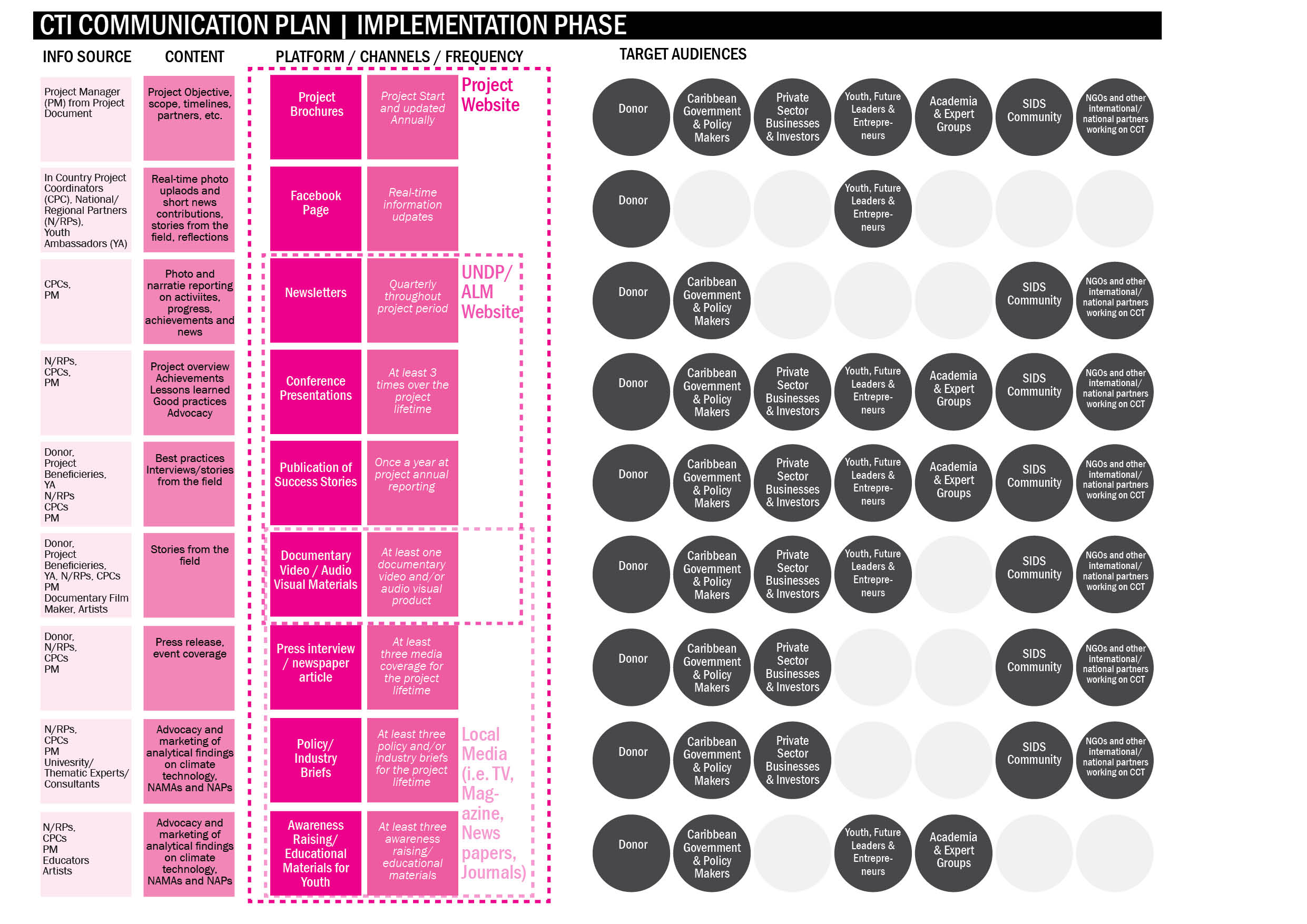
In order to ensure streamlining of information gathering, dissemination, and management, each activity at the country and/or regional level will include a *communication deliverable which will be outlined within the terms of reference* of each workshop, events, site visits, and any other project activities.

Furthermore, all staff working on the project will *allocate at least 20% of their time to supporting and/or leading the delivery of communication outputs* of the project to ensure Japan´s visibility in the region, which will be incorporated in their annual evaluation process and criteria.

In order to ensure creative and effective communication will executed throughout the project lifetime, members of the project management team as well as key partners will be trained on practical and useful communication and media training during the project inception. These trainings may include, but not limited to:

* Press release writing
* Presentation
* Web authoring and reflective blogging
* Social media (facebook, twitter, Instagram, etc)
* Basic video and photo editing and story telling
* Basic data visualization and infographics
* Participatory media for community engagement and mobilization

To this end, all events related to CTI during inception and implementation phases will revolve around showcasing objectives, activities on-the-ground and results of the Initiative emphasizing the support provided by the Government of Japan to the Caribbean region in diverse channels to different audiences as described above in this section and outlined below in the CTI Communication Plan.



## Terms of Reference for Project Personnel

*TOR for Key Project Groups, Staff and Sub-Contracts should be developed and attached.*

## Special Clauses

*In case of government cost-sharing through the project which is not within the CPAP, the following 10 clauses should be included:*

* *The schedule of payments and UNDP bank account details.*
* *The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.*
* *The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.*
* *UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.*
* *All financial accounts and statements shall be expressed in United States dollars.*
* *If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavours to obtain the additional funds required.*
* *If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph ( ) above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.*
* *Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.*

**In accordance with the decisions and directives of UNDP's Executive Board:**

**The contribution shall be charged:**

1. **[…%]cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices**
2. **Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.**

* **Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.**
* **The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.**

## Coordination Strategy

## Annex 2. Risk Analysis

|  |  |  |
| --- | --- | --- |
| **Project Title: Project for Japan-Caribbean Climate Change Partnership** | **Award ID:** | **Date:** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **Description** | **Date Identified** | **Type** | **Impact &**  **Probability** | **Countermeasures / Mngt response** |
| 1 | Community not supportive of proposed interventions | April 2014 | *Social/Political* | Most of the interventions identified have not been validated with community level stakeholders.  P=2  I=5 | UNDP has developed a visibility, communication and stakeholder engagement strategy which will ensure that all community based actions are implemented with the free, prior and informed consent of all stakeholders at community level. |
| 2 | Slow financial delivery due to limited national absorption capacity | April 2014 | Financial | Slow financial delivery can result in disrupting the project’s timeframe and result in inability to achieve results on time  P =3  I = 4 | UNDP has decided to use the Direct implementation modality, which gives greater control for organisation or project outputs |
| 3 | Natural Disaster | April 2014 | Environmental | An unforeseen natural disaster such as a hurricane could severely delay project activities and result in inability to deliver project activities or even cause destruction to infrastructure  P = 5  I = 5 | In compliance with its corporate policy, the operation of PMU in Barbados will be covered by UNDP’s Barbados Business Continuity plan. This is also applicable to other project operations in other UNDP offices’ |
| 4 | Change in Government | April 2014 | Political | Change in government can mean new priorities and, in some cases unwillingness to continue with development initiatives of a previous administration  P=3  I-5 | UNDP is undertaking wide consultations with national actors and ensuring alignment between project priorities and national development needs. |

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**Annex 3. Standard 2: Climate Change Mitigation and Adaptation**

**Standard 2: Climate Change Mitigation and Adaptation**

**Introduction**

1. Climate change is a fundamental threat to sustainable development and the fight against poverty. It has the potential to stall and even reverse human development through its impacts on key development sectors and activities, including agriculture and food production, natural resources, disaster risk management and health. Climate change may exacerbate extreme weather events, increasing the risk of high-impact disasters. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration and/or intensification of impacts due to project activities that do not integrate and anticipate climate change risks.

2. UNDP supports countries to integrate low-emission, climate resilient objectives into national and sectoral development plans, identify priority mitigation and adaptation47 measures, implement measures to reduce vulnerability and increase adaptive capacity and resilience.

3. UNDP ensures that its projects are sensitive to climate change risks and do not contribute to increased vulnerability to climate change.48 UNDP mobilizes resources to support programme countries to finance their national adaptation costs.

4. UNDP strengthens the participation of women in decision-making processes on climate adaptation, mitigation and disaster risk reduction. UNDP supports countries to ensure that disaster risk reduction, climate mitigation and adaptation programmes specifically support women to strengthen their resilience, in part by securing rights and tenure to land, housing and other assets.

**Objectives**

* To ensure that UNDP projects are sensitive to climate change risks in order to ensure sustainable development outcomes
* To reduce project-related Greenhouse Gas (GHG) emissions

**Scope of Application**

5. The applicability of the Climate Change Standard is established during the social and environmental screening and assessment process. Requirements of this Standard apply to all projects that (i) may produce significant GHG emissions; (ii) have development outcomes that may be threatened by climate change; or (iii) may contribute to increased exposure and/or vulnerability to climate change.

**Requirements**

6. **Climate Change Risk Assessment:** As an integral part of the social and environmental assessment process, UNDP will ensure that proposed activities are screened and assessed for climate change-related risks and impacts of and to projects. UNDP will ensure that the status and adequacy of relevant climatic information is identified. If significant potential risks are identified, further scoping and assessment of vulnerability, potential impacts, and avoidance and mitigation measures will be required. The climate change risk assessment will examine:

a. Potential project-related increases in emissions that may exacerbate climate change, such as GHG emissions and black carbon emissions.

b. The viability or longer-term sustainability of project outcomes due to potential climate change. This will involve the identification of components that are sensitive or vulnerable to emerging or anticipated manifestations of climate change.

c. Risks that a project may increase exposure to climate change. Project components must be assessed for potential unintended or unforeseen increases in vulnerability to climate change.

d. Potential social and gender risks, based on the differentiated impacts of climate change.

e. Opportunities for (i) facilitating adaptation via synergies with existing or planned activities, (ii) combining mitigation (reduction in GHG emissions) and adaptation measures, and (iii) exploiting potentially beneficial changes in climatic or environmental conditions to deliver developmental benefits.

7. **Greenhouse Gases (GHGs):50** UNDP will seek to ensure that alternatives are considered and technically and financially feasible and cost-effective options51 to reduce project-related GHG emissions are adopted, in a manner appropriate to the nature and scale of the project’s operations and impacts. Alternative options may include, but are not limited to, alternative project locations, adoption of renewable or low-carbon energy sources, and sustainable agricultural, forestry, and livestock management practices.

8. For projects that are expected to produce significant quantities of greenhouse gases,52 UNDP ensures that emissions are tracked and reported in accordance with provisions of the UNFCCC. 53 UNDP’s Social and Environmental Screening Procedure provides guidance regarding tracking GHG emissions, including an indicative list of project types with significant emissions.

1. World Bank, 2012, “Mitigating Vulnerability to High and Volatile Oil Prices” [↑](#footnote-ref-2)
2. OLADE [↑](#footnote-ref-3)
3. ECLAC, The Economics of Climate Change in the Caribbean – Summary Report 2011 [↑](#footnote-ref-4)
4. Dominican Republic 0.67 TCO2/KWh, Cuba 0.87 TCO2/KWh, Jamaica 0.78 TCO2/KWh, Guyana 0.95 TCO2/KWh, Bahamas 0.72 TCO2/KWh (source: IGES, List Of Grid Emission Factor 2012) [↑](#footnote-ref-5)
5. Contained in paragraphs 22 to 24 of the decision text included in document FCCC/CP/2011/L.8/Add.1. [↑](#footnote-ref-6)
6. The actual demand for CERs is depressed due to various factors such as the international financial and economic crisis, lack of commitment of emission reduction under the Kyoto protocol and the oversupply of credits. Prices are at its lowest, around 1.45 Euro. At its peak in 2008, CERs prices were around 20-25 Euro. [↑](#footnote-ref-7)
7. *Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR* [↑](#footnote-ref-8)
8. *All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.* [↑](#footnote-ref-9)