

Amendment No. 1 to the LOA 001/2011/ROLAC

between

the **United Nations Development Program**

and

the **United Nations Environment Programme**

on the project "National Program for the integration of poverty, environment and climate change in development planning and for the reduction of vulnerabilities of poor rural households to climate shocks in the Dominican Republic."

Pursuant to Article 11 of the LOA 001/2011/ROLAC of 28 June 2011 between UNEP and UNDP on the project titled: "Increasing the resilience of vulnerable groups and ecosystems to climate shocks in the Dominican Republic" the Parties agree to amend the Agreement.

- 1) The purpose of this Amendment is to extend the period of the LOA for an additional 15 months, establishing the finishing date of December 2013 as it is required for consistence with the joint Project Document which has been extended for this period of time. In addition this Amendment adjusts the requirements for the payment instalments, as per established in components and activities in the Revision A of the Project Document. Furthermore it readjusts the distribution of the funds according to the activities planned, without making any changes to the total budget, which remains the same USD\$ 367,200. (See annex 2)

1. General provision

- 1.1 Agreement Article 13 as amended by Amendment No. 1 effective upon signature of both parties, is hereby amended as follows:

"This LOA shall be effective upon the last date of signature of the approving officials and remain in force until December 2013, as per established in Revision A of the project document, or unless terminated in accordance with Clause 12 of the LOA."

- 1.2 Agreement Article 5, **section b**, as amended by Amendment No. 1 effective upon signature of both parties, is hereby amended partially as follows:



“For the costs of identified activities as detailed in Annex 2, UNEP will pay UNDP US\$ 367,200 (three hundred sixty-seven thousand two hundred dollars). Funds will be made available in three performance-based instalments (except for the initial advance) as indicated below:

- a. An advance of US\$ 146,880 (one hundred forty six thousand eight hundred and eighty) will be paid upon signature of this agreement by both parties;
- b. A second payment of US\$ 146,880 (one hundred forty six thousand eight hundred and eighty) will be paid after receipt of a certified interim financial statement, showing the usage of the first instalment and upon written confirmation by UNEP of satisfactory progress of components 2 and 3 as per implementation plan (Annex 1); and
- c. The remaining balance of US\$ 73,440 (seventy three thousand four hundred and forty) or any actual spent portion of it will be paid upon written confirmation by UNEP of the successful completion of all deliverables of the implementation plan (Annex1), and after receipt by UNEP of final substantive and certified reports of expenditures incurred in undertaking those tasks as per agreed budget (Annex 2).

1.3. Annex 1 of the LOA, as amended by Amendment No 1 effective upon signature of both parties, is hereby totally amended, as follows:

Components	Q3 2011	Q4 2011	Q1 2012	Q2 2012	Q3 2012	Q4 2012	Q1 2013	Q2 2013	Q3 2013	Q4 2013
Product 2: Improved the capacities at the local level for the integration of poverty, environment, climate change linkages into the national and territorial planning processes			X	X	X	X	X			
Product 3: Pilot project designed and implemented to identify policies and best practices aimed at reducing poverty and climate vulnerability of households in the surroundings of the Enriquillo Lake				X	X	X	X	X		
Product 4: Project coordinated and managed	X	X	X	X	X	X	X	X	X	X

Annex 2

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

	Original LOA	Amendment
Product 1	102,000.00	
Product 2	111,000.00	140,000.00
Product 3	127,000.00	150,000.00
Contingency	27,200.00	
Product 4		77,200.00 (includes contingency)
Total		367,200.00

Annex 3
RESULTS AND RESOURCES FRAMEWORK



Expected Result of the Country Program:

For 2016, the impoverished population benefits through a sustainable economic growth with equal opportunities. For 2016, the Dominican Republic will have strengthened its mitigation and adaptation capacity to climate changes.

Indicator, Baseline and Goal of the Country Program:

Indicator: Number of subsidies programs incorporated to the Payment System of Social Subsidies **Baseline:**9: **Goal** 10

Indicator: Formulate and execute sustainable territorial plans at national level. **Baseline:** 1, **Goal:** 5

Product/s of the Country Program:

Scope, efficiency and transparency of the social protection system has been improved

Start up of mitigation and adaptation to climate change measures

Areas of Key Results of the UNDP Strategically Plan 2012-2016 which applies:

Social and economic inclusion

Sustainable development and Risk management

Association Strategy: The Project will be of direct execution. The work will be in coordination with the DGODT, SIUBEN and the Ministry of Environment, with PEI and REGATTA funds.

Denomination and Number of the Project (ATLAS Award ID): 000G2216

<p>Expected results of the National Umbrella Program: mechanisms developed and established to integrate the linkages between poverty, environment and climate change adaptation in the National Risk Management System and the Social Protection System</p>	<p>Indicators:</p> <ol style="list-style-type: none">1. Increase in the knowledge base and arguments of MEPVD, DGODT, GASO, MA, SIUBEN and CNCCMDL for integration into the National System for Risk Management and in the Social Protection System.2. Increase the capacities of the government actors at local level for the integration in the national and territorial planning.3. Use of information, tools, guidelines and recommendations of the Project in the formulation of policies and territorial planning.	<p>Baseline:</p> <ol style="list-style-type: none">1. There is little or no articulation between social and environmental sectors and as a result little integration in the Social Protection System and the Risk Management system2. Local authorities have limited capacity to execute the territorial plans.¹3. There is not enough information (guidelines and tools) for the implementation of public policies that integrate poverty-environment-climate change linkages	<p>Goals</p> <ol style="list-style-type: none">1. Achieve consensus on the importance of the design of policies that consider poverty-environment-climate change linkages <p>Local authorities at municipal levels with more capacity to start territorial planning</p> <ol style="list-style-type: none">3. At least two studies to contribute with information and arguments of public policies integrating poverty-environment-climate change linkages
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¹ This information was obtained from a meeting with Mr. Marco Martinez, Sub-Director of the DGODT.

Parties' initials:

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

EXPECTED RESULTS	ACTIVITIES	RESPONSIBLE PARTIES	SUPPLIES
<p>Product 1: Developed of a knowledge basis and an argument in favor of integration</p> <p>Baseline: While there is growing awareness of the linkages between climate change, poverty and environment, it is necessary to generate more information (detailed and specific) on the relationship between poverty-environment-climate change on poor households at local level</p> <p>Goal: Generation of information for the formulation of a conceptual framework, supported by a better understanding of the linkages and the availability of tools and mechanisms.</p> <p>Indicator: Percentage of Progress in the performance of studies</p> <p>Number of key government actors involved in the consultation and socialization workshops of the results of studies</p> <p>Number de "policy briefs" published.</p>	<p>Activity 1.1.1. Conduct additional studies to help identify linkages Adaptation to Climate Change, Environment - Poverty in developing and promoting the arguments to influence the formulation of land policies, including the estimated cost to the government for not implementing public policies to mitigate Impact of these events on poor households.</p> <p>Activity 1.2. Present and report the results of the studies linking climate change, poverty and environment with key players in government and civil society</p> <p>Activity 1.3. Advocacy and awareness activities with relevant government officials in charge of the design of public policies related to climate change, poverty and the environment.</p>	<p>MEPYD DGODT GASO MA SIUBEN CNCCMDL Other Relevant Actors: CNE, Ministry of Agriculture, INDRHI, SYSMIN, COE Civil Society: Institutions, Investigation, Academy, ONG, enterprises</p>	<p>71300 National Consultants 71200 International Consultants 72100 Sub contract of services 75700 Training 7220 Equipment 72700 Workshops 74200 Audiovisual publications 1600 Travel 74500 Miscellaneous expenses</p>

Parties' initials:

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>Product 2: Improved the capacities at the local level for the integration of poverty, environment, climate change linkages into the national and territorial planning process</p> <p>Baseline: Inadequate institutional capacity in the provinces and the municipalities for the coordination and territorial planning.</p> <p>Goal: Guidelines for land use/territorial planning that integrate the linkages between poverty, environment and climate change designed, produced and disseminated by the DGODT.</p> <p>At least 20% of the actors and structures that support the DGODT trained in the methodology of territorial planning in at least 20% of the municipalities and provinces of the country.</p> <p>Indicator: Number of guidelines proposals for the preparation of the territorial plans prepared.</p> <p>Percentage of actors and structures trained in methodology of territorial planning</p>	<p>2.1. Incorporate adaptation to climate change, poverty and environment linkages in the coordination process for the territorial development planning process carried out by DGODT.</p> <p>2.2 Integrate adaptation to climate change, poverty and environment linkages in the planning tools for the territorial development planning process at the local level.</p>	<p>MEPYD: Social Cabinet, DGODT</p> <p>MA CNCCMDL</p> <p>Town halls and other municipalities authorities</p> <p>Civil Society</p>	<p>71300 National Consultants 71200 International Consultants 75700 Training 7220 Equipment 72700 Workshops 74200 Audiovisual publications 71600 Travel 72500 Supplies 74500 Miscellaneous Expenses</p>
<p>Product 3: Pilot project designed and implemented to identify policies and best practices aimed at reducing poverty and climate vulnerability of households in the surroundings of the Enriquillo Lake</p> <p>Baseline: Extensive experience linking environment - development in</p>	<p>Activity 3.1. Formulate and implement in a first phase the pilot project</p>	<p>UNDP MEPYD GCPs SIUBEN ONE CNCCMDL MA</p>	<p>71300 National Consultants 71200 International Consultants 72100 Sub contract of services 7220 Equipment 72700 Workshops</p>

Parties' initials:

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<p>local projects including at least three projects with UNDP which support the sustainable development of families vulnerable to disaster but lacking application and documentation of good practice integrating climate shocks, environmental management and poverty reduction.</p> <p>Goal: Pilot Project designed and managed in its first phase.</p> <p>Indicator: Percentage of progress in the design of the Project in its first phase.</p>			<p>75700 Training 74200 Audiovisual and publications 71600 Miscellaneous expenses 71600 Travel</p>
<p>Product 4 Project Efficiently Managed Baseline: N/A Goal: Project coordinated and managed Indicator: Number of coordination meetings and number of follow up reports in regards to the progress of the project</p>	<p>Activity 4.1. Coordinate and Monitor the Project.</p>	<p>UNDP</p>	<p>71300 National Consultant 72500 Supplies 74500 Miscellaneous 7220 Equipment 71600 Travel</p>

Parties' initials:

IV. ANNUAL WORKING PLAN 2012

Expected Product	Planned Activities	Chronogram				Responsible Party	Estimated Budget	
		T1	T2	T3	T4		Financing Source	Budget Description

Parties' initials:

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>Product 1: Developed of knowledge basis and an argument in favor of integration Baseline: - Exploratory study on how the extreme climate events impact the poor households. - Conceptual framework to define the Index for Unsafe Conditions at house levels which allows the support decisions of public policies</p>	<p>Goals: i) Reviewed and applied asset model; ii) Vulnerability model at household level which determines the Probability that the poverty situation will get worse for the homes due to reasons linked to extreme climate events and estimate the amount which represents the absence of public policies to face those events iii) Exploratory study done with proposals to include in the conditional transference program Solidaridad, measures to increase the capacities of the beneficiary homes to face those extreme climate events.</p>	<p>X</p>	<p>X</p>	<p>MEPYD DGODT Social Cabinet SIUBEN ONE MA CNCCMDL</p>	<p>PEI</p>	<p>71300 National Consultant 71200 International Consultant 72100 Sub contract of services 75700 Workshops 72700 Training 7220 Equipment 74200 Audiovisual And publications 71600 Travel 74500 Miscellaneous expenses</p>	<p>40,000.00 55,000.00 50,000.00 9,574.00 9,000.00 15,000.00 5,000.00 5,000.00 3,000.70</p>
<p>Parties' initials:</p>							

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>1.2. Present and report the results of the studies linking climate change, poverty and environment with key players in government and civil society</p> <p>1.2.1 Carry out three workshops (one per study) to present the results of the actions of activity 1.1.</p> <p>1.2.2. Carry out an international seminar to present different experiences and mechanisms to integrate climate change, poverty and environment linkages in the public policies</p> <p>1.3 Advocacy and awareness activities with relevant government officials in charge of the design of public policies related to climate change, poverty and environment.</p> <p>1.3.1. Conducting round tables and talks to raise awareness among key actors including MEPYD, GASO, MA and CNCCMDL about the benefits of linking poverty, climate change and environment in the design of public policies</p> <p>1.3.2. Preparation of "policy briefs" address to policy makers, to contribute to argument in favor of the benefits of a better environmental management and of adaptation to climate change policies in the efforts to reduce poverty.</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>MEPYD DGODT GASO MA SIUBEN CNCCMDL Other relevant actors: CNE, Ministry of Agriculture, INDRHI, SYSMIN, COE Civil Society: Institutions, investigation, Academy, NGOs, companies</p>	<p>PEI</p>	
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Parties' initials:

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>Product 2 Improved the capacities at the local level for the integration of poverty, environment, climate change linkages into the national and territorial planning process</p> <p>Baseline: Inadequate institutional capacity in the provinces and the municipalities for the coordination and territorial planning.</p> <p>Goals: Guidelines for land use/territorial planning that integrate the linkages between poverty, environment and climate change designed, produced and disseminated by the DGODT.</p> <p>At least 20% of the actors and structures that support the DGODT trained in the methodology of territorial planning in at least 20% of the municipalities and provinces of the country.</p> <p>Indicator: Number of guidelines proposals for the preparation of the territorial plans prepared.</p> <p>Percentage of actors and structures trained in methodology of territorial planning</p> <p>Parties' initials:</p>	<p>2.1. Incorporate adaptation to climate change, poverty and environment linkages in the coordination process for the territorial development planning process carried out by DGODT.</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>MEPYD: Social Cabinet, DGODT MA CNCCMDL Town halls and other municipality authorities Civil Society</p>	<p>REGATTA</p>	
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	<p>2.2 Integrate adaptation to climate change, poverty and environment linkages in the planning tools for the territorial development planning process at the local level.</p> <p>2.2.1. Developing guidelines (methodology) for territorial plans (POT) at the subnational level, risk areas (with special emphasis on the provinces of Lago Enriquillo) aimed at reducing the vulnerability of people and their livelihoods.</p> <p>2.2.2 Preparation and publication of manuals and methodological guidelines for the development of POTs, targeting key actors of the territory (local authorities, among others</p>		<p>X</p> <p>X</p> <p>X</p>		<p>REGATTA</p>	<p>71300 National Consultant</p> <p>71200 International Consultant</p> <p>72700 Workshops</p> <p>74200 Audiovisual and Publications</p> <p>71600 Travel</p>	<p>15,000</p> <p>30,000</p> <p>2,500</p> <p>10,000</p> <p>2,500</p>
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Parties' initials:



Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>Product 3: Pilot project designed and implemented to identify policies and best practices aimed at reducing poverty and climate vulnerability of households in the surroundings of the Enriquillo Lake</p> <p>Baseline: At least three UNDP projects which support the sustainable development of the families vulnerable to disasters.</p> <p>Meta: Pilot Project designed and managed in its first phase</p> <p>Indicator: Percentage of progress in the design of the Project in its first phase</p>	<p>3.1. Formulate and implement in a first phase the pilot project</p> <p>3.1.1. Characterize the area surrounding Lago Enriquillo, including socioeconomic, environmental and risk aspects</p> <p>3.1.2. Design the pilot project taking into consideration the application of policies measures from the environment, climate change and poverty perspective.</p> <p>3.1.3 Implement the first phase of the pilot to allow a partial evaluation</p>	<p>X</p>	<p>X</p>	<p>UNDP MEPYD GCPS SIUBEN ONE CNCCMDL MA</p> <p>Other relevant actors: CNE</p> <p>Civil Society: Institutions, investigations, academies, ONGs, companies</p>	<p>REGATTA</p>	<p>71300 National Consultant 71200 International Consultant 7570 Sub contract of services 74200 Audiovisual and publications 71600 Travel 74500 Miscellaneous expenses</p>	<p>10,000 20,000 100,000 5,000 10,000 5,000</p>
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Parties' initials:

Amendment No.1 LOA 001/2011/ROLAC Additional Cost to UNEP: None

<p>Product 4 Project Efficiently Managed Baseline: N/A Goal: Project coordinated and managed Indicator: Number of coordination meetings and number of follow up reports on the progress of the project</p>	<p>4.1 Coordinate and monitor the project 4.1.1. Carry on actions for the effective coordination of the project 4.1.2. Identify and agree on the priorities for future interventions which will give sustainability and continuity to this umbrella initiative</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>PEI and REGATTA</p>	<p>71300 National Consultancies 71600 Travel 7220 Equipment 74500 Miscellaneous expenditures Administration 74500 Miscellaneous</p>	<p>76,304.00 10,000.00 5,000.00 20,400 3,921.30</p>
<p>TOTAL 607,200.00</p>								

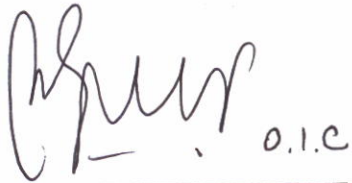
Parties' initials:

2. Entry into force

2.1 This Amendment No. 1 will enter into force upon the date of the last signature of the approving officials below.

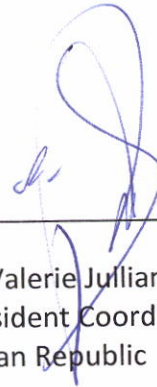
All other terms and conditions of the Agreement remain valid and unchanged.

This Amendment will be appended to the Agreement, and will be construed an integral part of it.



A handwritten signature in black ink, appearing to read 'Margarita Astrálaga', with the initials 'o.i.c.' written below it.

Name: Margarita Astrálaga
Title: Regional Director and Representative
UNDP-UNEP-ROLAC
Date:



A handwritten signature in blue ink, appearing to read 'Valerie Julliard', written over a horizontal line.

Name: Valerie Julliard
Title: Resident Coordinator
Dominican Republic
Date:

Parties' initials: