**Region: Latin American and Caribbean**

**Initiation Plan**

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| **Project Title:** | Preparation of Regional Climate Change Programme |
| **Expected Regional Programme Outcome(s):**  *(Those that are linked to the project and extracted from the RPD)* | Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded |
| **Initiation Plan Start Date:** | January 1st 2016 |
| **Initiation Plan End Date:** | December 31st 2016 |
| **Executing Entity:** | UNDP – Regional Centre for Latin American and the Caribbean. |
| **Implementing Entity:** | UNDP – Regional Centre for Latin American and the Caribbean. |

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| **Brief Description**  *The Project Initiation Plan will take stock of the outcomes of the 21 Conference of the Parties, analyse consequences for the LAC region and use these inputs to develop a full Project Document for the second phase of the Regional Climate Change Programme that responds to them.*  *In addition, support will be provided to critical activities that are either ongoing to planned to be initiated in early 2016, which will help define concrete support of the second phase of the Regional Climate Change Programme.* |

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| Regional Programme Period: 2014 – 2017  Regional Programme Component:  Outcome 1, output 1.4 *Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented*  Atlas Award ID: \_\_\_\_\_\_\_\_\_\_\_\_\_\_  PAC Meeting Date \_\_\_01/12/2015\_ | Total resources required \_\_394,365 USD  Total allocated resources: \_\_613,663 USD   * Other:   + Spain \_219,298 USD (200,000 EUR estimated)\_\_   + Germany \_16,065\_USD\_   + Spain \_\_378,300\_USD\_   + Government \_\_\_\_\_\_\_\_\_   Unfunded budget: \_\_\_\_\_\_\_\_\_  In-kind Contributions \_\_\_\_\_\_\_\_\_ |

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| Agreed by | Name | Title | Date | Signature |
| UNDP. Regional Centre for Latin America and the Caribbean |  | Regional Director Centre LAC and Deputy Regional Director RBLAC |  |  |

# Purpose

The Government of Spain has agreed to provide financing to the UNDP for a new phase of the Regional Climate Change Programme for the Latin America and the Caribbean region. This phase would give continuity to a 6 year Programme that has supported 18 countries in the LAC region to strengthen their capacities to address climate change.

A Project Document is being prepared with a detailed description of the activities, outputs and outcomes expected from the new phase of the project that will last for two years. A work proposal needs to be finalized in consultations with beneficiary countries and in close coordination with the Government of Spain.

However, climate change negotiations within the United Nations Framework Convention on Climate Change are currently at a critical stage, as the 21 Conference of the Parties unfolds. This Conference, expected to end on December 10th 2015, will impact the climate change arena and global commitments through the expected achievement of a legal agreement that will limit global and country greenhouse gas emissions.

The Project Initiation Plan will take stock of the outcomes of the 21 Conference of the Parties, analyse consequences for the LAC region and use these inputs to develop a full Project Document for the second phase of the Regional Climate Change Programme that responds to them.

In addition, support will be provided to critical activities that are either ongoing to planned to be initiated in early 2016, which will help define concrete support of the second phase of the Regional Climate Change Programme.

# Expected Outputs

The initiation plan activities are linked to the new project outputs which are:

* Scale-up action on climate change mitigation
* Strengthen capacities to provide access to climate finance
* Foster climate change knowledge in the region

Some of the activities were identified in the Annual work plan of 2015 of the first phase of the Regional Programme. However, these activities could not be implemented during 2015.

The project document for the second phase of the Regional Programme will be prepared as a result of this initiation plan.

# Management Arrangements

The project, which is to be based in the UNDP Regional Center for Latin America and the Caribbean (RSCLAC), will be implemented under the Direct Implementation Modality (DIM). Under this modality, UNDP will be responsible for the project implementation and for the achievement of the expected results. UNDP will ensure the organizational structure of the project, its planning and progress monitoring, ensuring an effective and efficient use of resources.

A **Project Board** will be set up to make all management decisions related to the project and all decisions related to directional change and timing for delivery of outputs. The UNDP Regional Center for Latin America and the Caribbean will chair the Project Board, which will also include Senior Supplier, the Spanish Agency for International Cooperation and Development (AECID), and a representation of country beneficiaries.

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 or negotiates a solution to any problems with external bodies. It approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

The Project Board will meet once a year and will review annual project reports, approve annual work plans and recommend partners for specific topics of the project, and corrective actions in the scenario where there is a deviation from approved plans or where new risks arise.

In order to ensure UNDP’s ultimate accountability for the project results, Project Board decisions will be made in accordance with 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

The Project will be led by a **Project Manager**, based in RSCLAC. 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 primary 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. The Project Manager will be be responsible for project administration, preparation of annual workplans and quarterly and annual progress reports. Also the manager will be tasked with mobilizing goods and services to carry out the planned activities and delivering outputs. The Project Manager will also prepare the Final Report of the Project

The **Project Support** role provides project administration, and technical support to the Project Manager as required:

* Technical Specialist: responsible for technical support to beneficiary coountries on mitigation actions and climate finance, as well as relevant technical inputs to all project activities
* Project Associate: responsible for financial reporting, logistical arrangements, administration, management of project documentation, etc.

**Project Assurance** is provided by the Programme Monitoring Officer in UNDP. This support consists on objective and independent project oversight and monitoring functions, independent of the Project Manager, ensuring appropriate project management milestones are managed and completed

*Project Assurance*

**Programme Monitoring Officer**

**Project Manager**

*Senior Beneficiary*

**Beneficiary countries**

*Senior Supplier*

**Government of Spain**

*Executive*

**UNDP RSC LAC**

**Project Board**

**Project Organisation Structure**

*Project Support*

**Technical Specialist**

**Project Associate**

# ANNUAL WORK PLAN

**Year: 2016**

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| **EXPECTED OUTPUTS**  *And indicators, baseline, including annual targets* | **PLANNED ACTIVITIES**  *List activity results and associated actions* | **TIMEFRAME** | | | | **IMPLEMENTING ENTITY** | **PLANNED BUDGET** | | |
| Q1 | Q2 | Q3 | Q4 | Funding Source | Budget Description | Amount |
| 1. Scale-up action on climate change mitigation   *Indicators:*  *Baseline: INDCs presented by LAC countries*  *Targets:*  *Related RP outcome: Outcome 1* | 1.1 Develop NAMA proposals | X | X | X |  | UNDP | 30000/10870 | Spanish Fund | 110,500 |
| 1.2 Support to development of climate policies |  | X | X | X | UNDP | 30000/10870  23400/00117  23400/00220 | Spanish Fund  BPPS Funds  Spanish Funds | 23,000  8,000  10,000 |
| 1.3 Project coordination | X | X | X | X |  | 30000/10870 | Spanish Fund | 17,600 |
| **TOTAL OUTPUT 1** |  |  |  |  |  |  |  |  | **169,100** |
| 1. Strengthen capacities to provide access to climate finance   *Indicators:*  *Baseline: INDCs presented by LAC countries*  *Targets: Roadmap*  *Related RP outcome: Outcome 1* | * 1. Support to green financing proposals | X | X |  |  | UNDP | 30000/10870  11888/0250 | Spanish Fund  Int.Spanish Fund | 11,000  10,800 |
| * 1. Develop CPEIR methodology |  | X | X | X | UNDP | 30000/10870  23400/00117  11888/0250 | Spanish Fund  BPPS Funds  Int.Spanish Fund | 24,600  8,065  10,800 |
| 2.3 Project coordination | X | X | X | X | UNDP | 30000/10870 | Spanish Fund | 65,600 |
| **TOTAL OUTPUT 2** |  |  |  |  |  |  |  |  | **130,865** |
| 1. Foster climate change knowledge in the region   *Indicators:*  *Baseline: INDCs presented by LAC countries*  *Targets: Roadmap*  *Related RP outcome: Outcome 1* | 3.1 Finalize study on public water utilities and challenges for climate financing | X |  |  |  | UNDP | 30000/10870 | Spanish Fund | 14,000 |
| 3.2 Concept notes on regional climate studies | X | X |  |  | UNDP | 11888/0250 | Int.Spanish Fund | 11,200 |
| 3.3 Project coordination | X | X | X | X | UNDP | 30000/10870  11888/0250 | Spanish Fund  Int.Spanish Fund | 48,000  21,200 |
| **TOTAL OUTPUT 3** |  |  |  |  |  |  |  |  | **94,400** |
| **GRAND TOTAL AWP** |  |  |  |  |  |  |  |  | **394,365** |

# 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 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*

UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations safety and security management system.

UNDP will undertake all reasonable efforts to ensure that none of the project funds 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/sc/committees/1267/aq\_sanctions\_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

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/sc/committees/1267/aq\_sanctions\_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

# ANNEXES

**Annex 1. Risk Analysis**.

*bundp20mm***OFFLINE RISK LOG**

*(see* [*Deliverable Description*](http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=1266195&) *for the Risk Log regarding its purpose and use)*

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| **Project Title:** | **Award ID:** | **Date:** |

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| **#** | **Description** | **Date Identified** | **Type** | **Impact &**  **Probability** | **Countermeasures / Mngt response** | **Owner** | **Submitted, updated by** | **Last Update** | **Status** |
| 1 | There is no agreement in COP 21 or insufficient to define consequences for LAC region | November 2015 | Political | There would not be a global target to which align. Some countries may not feel pressure to undertake full-fledged climate action.  Enter probability on a scale from 1 (low) to 5 (high)  P = 2  Enter impact on a scale from 1 (low) to 5 (high)  I = 3 | Work of the second phase will be refocused around INDCs and their implementation in beneficiary countries | Cayetano Casado | Cayetano Casado | November 2015 | Decreasing |
| 2 | Approval of the work programme is delayed | November 2015 | Operational | A project document could not be finished on time and pending actions would be further delayed.  P=4  I=4  P =  I = | Involve supplier in discussions with beneficiaries. Remind supplier of impacts of delays. | Cayetano Casado | Cayetano Casado | November 2015 | Increasing |
| n |  |  | Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other | Text  P =  I = |  |  |  |  |  |