



INITIATION PLAN TEMPLATE
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Building Resilience of Health Systems in Pacific Island LDCs to Climate Change
Countries Kiribati, Solomon Islands, Tuvalu, Vanuatu

Expected UNDP Strategic Plan Outcome(s)/Indicator(s):

Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

Output 1.4: Scaled up action on climate change adaptation and mitigation across

- Indicator 1.4.2: Number of countries with comprehensive measures - plans, strategies, policies, programmes and budgets - implemented to achieve low-emission and climate-resilient development objectives.

Initiation Plan Start Date: 1 May 2017

Initiation Plan End Date: 30 April 2018

ATLAS Business Unit	UNDP1
ATLAS Project Award:	00102835
ATLAS Project ID:	00104738
PIMS Project ID:	5396
Management Arrangement:	DIM

Total budget:	US\$ 300,000
Allocated resources:	
• LDCF	US\$ 300,000

Signature

Date (Day/Month/Year)

04/07/2017

Adriana Dinu
Executive Coordinator, UNDP-Global Environmental Finance

A. Brief Description of Initiation Plan

The purpose of the initiation plan is to conduct the feasibility assessments and stakeholder consultations necessary to develop an approved project concept (see GEF PIF attached in Annex 4) into a fully formulated project document that can be sent for endorsement by the GEF/LDCF Council. The final output of the initiation plan will be a [UNDP-GEF project document](#) and [GEF CEO endorsement template](#) ready for submission to UNDP and GEF for their internal clearances, respectively. The documents will be compliant with the specific requirements of the Least Developed Countries Fund (LDCF) and conform to UNDP Operational Policies and Guidelines.

Project preparation will be conducted in close consultation with Ministries of Health (MoHs) of the four project countries and a large range of relevant stakeholders including staff from local municipalities (local authorities), community organizations, other partner ministries, media groups, universities and development partners. Execution of the project development activities outlined in this Initiation Plan will be by Direct Implementation Modality (DIM) by UNDP.

B. Project Preparation Activities

Component A: Technical Review

I. Baseline Assessment:

In the context of the proposed initiative (as per the Council approved PIF), the “Project Development Team” will conduct technical and capacity needs assessments, as follows:

- 1) **Capacity and needs assessment of health systems in each of the countries:**
 - Capacity needs assessment identifying capacity strengths and gaps of health systems at national and potentially local level that can support adaptation. Assess capacities of health systems to respond to climate vulnerability and future changes, following the main [approach taken by WHO for building climate resilient health systems](#). The gap assessment will identify what needs to be done to integrate climate resilience related measures into the assessment and management of priority climate-sensitive health risks and plans;
- 2) **Establishment of the baseline for the project and additionality of the LDCF financed outcomes, and indicative outputs:**

In order to understand the vulnerability to climate change in all of the countries, relevant existing data will be reviewed, such as NAPAs, health vulnerability and adaptation assessments (V&As), national strategies and plans on climate change and health, and potentially health components of national adaptation plans (H-NAPs).

A comprehensive baseline assessment will include:

- Key climate-sensitive diseases and current risks of climate-sensitive health outcomes, including a qualitative or quantitative description of the current distribution and burden on key climate-sensitive health outcomes by vulnerable populations and regions.
- Possible additional burden of adverse health outcomes due to climate change;
- Policies and programmes in place to address current and projected health risks;
- Existing surveillance systems for key climate-sensitive diseases and whether climate/weather and environmental variables are included within those;
- Existing early warning systems and its potential for health to be linked within those;
How gender considerations and other social (e.g. poverty, age) and environmental determinants (e.g. urban/rural, outdoor workers) determine greater vulnerability in some groups of the population;

- Baseline projects as discussed in the PIF and their relevance to the proposed outcomes to be achieved with LDCF financing. Describe in more detail the baseline projects identified in the PIF and how the LDCF financed project will build on their experience;
- Gaps and opportunities for co-financing through government resources and/or other partners (private sector, other donors, foundations etc.);
- Expected benefits in terms of reduced vulnerability that is expected from the LDCF financed project when it is implemented; Assess the expected decrease in health risks for the beneficiaries the project; Define the expected number of direct beneficiaries from the proposed project interventions including ways to track beneficiaries.

3) **Identification of Project Activities and Site Selection:**

Based on the capacity needs assessment, the Project Development Team will work with MoHs of the project countries to identify capacity building activities, according to the Outcome framework in the approved PIF. Sites, if relevant, will be selected in consultation with MoHs, based on vulnerability to climate change including variability - describing the ecology and socio-economic characteristics of each target site to enable integrating health related climate resilience measures into local health service delivery systems that are appropriate to the region, and to the needs of the population.

4) **Assessments**

- Risk assessment to prevent potential losses and damages that would occur during and after the project lifetime, including mitigation measures
- Comprehensive environmental and social risk assessment of possible risks associated with the proposed project activities. List all the potential positive and negative impacts that the implementation of the project can have, in particular on vulnerable peoples and their health; Rate the likelihood that the identified risks will occur during the lifetime of the project and following its implementation; Rate the strength of the impact as low, medium and high risk. If the project is deemed a medium risk project, prepare an environmental and social risk management plan. Identify mitigating activities to prevent the occurrence of these risks

Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- Finalization of the project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex-disaggregated indicators.
- Definition of monitoring and evaluation (M&E) plan: A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- Definition of the sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of the results achieved through the project including key activities/achievements. The sustainability of the project impact should be described in the context of institutional, environmental, social, and financial sustainability.
- Definition of management arrangements: The organizational structure governing the project will be finalized. This will include identification of the project board, project management unit and their respective roles/responsibilities
- Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake

consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

- Formulation of stakeholder involvement plan: Results of the consultations described above, among other things, will be used to formulate a stakeholder involvement plan, which map out how various partners will lead and participate in various project activities during implementation of the full-sized project.
- Definition of gender mainstreaming Plan: The gender mainstreaming plan will outline the principles and guidelines for mainstreaming gender in individual outputs, in order to ensure the equal participation of women and men in the proposed project activities and to ensure no adverse impact on either sex. This will include the conduct of a gender assessment in the context of the proposed scope of the project and a gender action plan to ensure the project is gender responsive and gender transformative.

Component C: Financial Planning and Co-financing Investments

- Further define the [Climate Change Adaptation Tracking Tool](#) from the GEF under the project to facilitate programming, financing and tracking of investment expenditures;
- Project preparatory stage will prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy;
- The project preparatory stage will prepare a detailed multi-year investment plan integrating climate change adaptation activities that will be developed in the targeted sites;
- Explore multilateral and bilateral co-financing opportunities: The project preparatory activities will include a series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- Stakeholder consultations during Component C: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project financed outputs and activities in the context of the Council approved project objective and outcomes (the latter cannot be changed). Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations. In addition, the PPG funds will support carrying out a targeted capacity assessment of local communities to engage in community based natural resource management and help define strategic interventions to address gaps.

Component D: Validation Workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

Component E: Completion of Final Documentation

- Consolidation of all technical and consultation inputs from all countries into a clearly written UNDP Prodoc document with all relevant sections and annexes. On the cover page it will clearly link the project to the Integrated Results and Resource
- The final project will be composed of an overall prodoc including the four countries as well as individual national projects for each of the countries, each of them following the project outcomes included in the PIF.

- Completion of a CEO endorsement request form

Note: templates may be subject to change, the person responsible for this consolidation and drafting will be required to obtain guidance by the UNDP/GEF Regional Technical Advisor and UNDP CO on applicable formats and templates and ensure that his/her work is compliant with UNDP/GEF and UNDP CO requirements.

C. Total Budget and Work Plan

Award ID:	00102835						
Project ID	00104738						
Business Unit:	UNDP1						
Project Title:	PIMS 5396 Building resilience of health systems in Pacific Island LDCs to climate change						
PIMS:	5396						
Implementing Partner (Executing Agency)	UNDP						
GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	ERP / ATLAS Budget Code	Atlas Budget Description	Amount (\$)	Budget note
The full-sized Project Document, <i>Building resilience of health systems in Pacific Island LDCs to climate change</i> , is elaborated	WHO	62160	LDCF	71200	International Consultants	69,120	a
				75700	Workshop and Trainings	89,832	b
				71300	Local Consultants	82,944	c
				71600	Travel	54,000	d
				74500	Miscellaneous	4,104	e
TOTAL						300,000	

Budget notes:

Budget Note	Description
a	2 International Consultants : Project Development Specialist 80 days @ \$324/day, Health and Climate Change Expert 80 days @ \$540/day (including 8% PSC)
b	Inception and Validation Workshops (travel and DSA for 2 representatives from each participating country, plus 6 project design team members, twice during PPG)
c	4 national consultants, estimated at 64 days per country @ \$324/day (including 8% PSC)
d	Estimate travel and DSA for project team for in-country consultations (including 8% PSC)
e	Miscellaneous (including 8% PSC)

Annex 1: GEF CEO PIF Approval Letter



Naoko Ishii
CEO and Chairperson

February 13, 2017

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have cleared the project concept detailed below for LDCF/SCCF Council's review and consideration. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Council Approval and Project Preparation Grant (PPG) Approval
GEFSEC ID:	8018
Agency(ies):	UNDP
Agency ID:	5396 (UNDP)
Focal Area:	Climate Change
Project Type:	Full-Sized Project
Country(ies):	Regional (Kiribati, Solomon Islands, Tuvalu, Vanuatu)
Name of Project:	Building Resilience of Health Systems in Pacific Island LDCs to Climate Change
Indicative GEF Project Grant:	\$17,850,000
Indicative Agency Fee:	\$1,606,500
PPG Grant:	\$300,000
PPG Agency Fee:	\$27,000
Funding Source:	Least Developed Countries Fund

Break-down of Indicative Agency Fee				
Agency	Trust Fund	40% Fees to be committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US\$)
UNDP	LDCF	\$642,600	\$963,900	\$1,606,500

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with

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Ms. Adriana Dinu

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February 13, 2017

LDCF focal areas strategies and in line with GEF/LDCF policies and procedures. Please ensure that your final project document, with all Secretariat and Council comments fully addressed, is submitted such that CEO endorsement can be provided within 18 months of Council approval of the PIF.

Sincerely,



Naoko Ishii

Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

GEF ID: 8018 - Building Resilience of Health Systems in Pacific Island LDCs to Climate Change

Annex 2: Key responsibilities of Consultants Financed by the Initiation Plan

Type of Consultant	Position / Title	Estimate Daily Rate	Estimate Days	Tasks to be Performed
International – IC1	Health and Climate Change Expert	540	80	<ul style="list-style-type: none"> • Manage the consultant team for the execution of PPG activities in line with the expected deliverables of the Initiation Plan and additional guidance/direction by UNDP and WHO; • Ensure the quality control of inputs and outputs for each consultant including anticipating difficulties faced by the consultants and finding solutions to overcome challenges as they are encountered; • Validate the problem statement and barrier analysis; • Finalize the conduct of baseline assessment, which includes: the conduct of capacity and needs assessment of health systems in each of the countries; the establishment of the baseline for the project and additionality of the LDCF financed outcomes and indicative outputs; the identification of project activities and site selection. • Design institutional arrangements, monitoring and evaluation for the overall project and each of the national projects. This includes: the definition of the logical framework, the work plan and the project budget; designing a monitoring and evaluation plan; definition of a sustainability plan; definition of management arrangements; the formulation of a stakeholder involvement plan; and the definition of a gender mainstreaming plan. • Define financial planning and co-financing investments. This includes the use of the GEF climate change adaptation tracking tool; the development of a detailed multi-year budget investment plan; the assessment of co-financing possibilities; ensure completion of required endorsement letters. • Consolidate of technical and consultation inputs into a UNDP prodoc document will all relevant annexes. • Ensure that project development activities are aligned with the scope of the Council approved project; • In consultation with WHO and UNDP, take steps to integrate the lessons learned and best practices into the design of this project from other relevant projects; • Provide technical support to national consultants and relevant inputs on best way to develop the national project proposals and guide them in the information required to establish the baseline for the project in each of the countries; • Provide guidance to national consultants on how best evaluate the national institutional framework in order to identify the national stakeholders, their roles and responsibilities • In collaboration with WHO, propose capacity Development responses for the different stakeholders based on the capacity assessments; • Analyze regional dynamics and opportunities to harmonize climate change adaptation frameworks and to strengthen regional cooperation and knowledge exchange for scale-up and replication of interventions; • Guide the development of a gender action plan for the project including guidance to national consultants who are entrusted with collecting relevant information to inform the gender action plan • Ensure that the results of the safeguards analysis is taken into account in the design of the project;

Type of Consultant	Position / Title	Estimate Daily Rate	Estimate Days	Tasks to be Performed
				<ul style="list-style-type: none"> Develop content, under the guidance of UNDP staff, for a blog on climate change and health as it relates to the proposed project and collaboration between UNDP and WHO; Prepare tweets and other social media content to be disseminated by UNDP and WHO communications teams; Develop content for a website that will be hosted on the UNDP-NAP Global Support Programme website and liaise with technical support to ensure the website is up and running
International – IC2	Project Development Specialist	324	80	<ul style="list-style-type: none"> Develop a stakeholder consultation plan to inform the project design; Conduct the consultations based on the stakeholder consultations plan including travel to local communities in the provinces, when necessary, to collect inputs to inform the project design; Provision of advice and technical guidance to the project development team on key outputs of the project preparatory phase, which feed into the comprehensive project proposal; Draft the UNDP-GEF/LDCF compliant, full-sized Project Document and associated GEF CEO Endorsement Request for submission to the GEF CEO for endorsement (the CEO endorsement will primarily draw on information in the Project Document, with some additional details on budgets and work plans that need to be defined); Collect letters of support and co-financing from on-going baseline projects, upon which this project will build; Address the council comments received for the PIF at its approval in the work program, as applicable; Address the comments from UNDP-GEF RTA/STA, the GEF Programme Manager following the submission of the Project Document and CEO Endorsement Request; Assess and finalize a report on important lessons following completion of the preparatory phase; and Prepare a power-point presentation on the final project design including UNDP factsheet (2 pages) that summarize the expected results of the project. Develop content, under the guidance of UNDP staff, for a blog on climate change and health as it relates to the proposed project and collaboration between UNDP and WHO Prepare a gender action plan
National – NC1-NC4	Climate Change and Health (or Environmental or Public Health) Experts	324	64 days/country	<ul style="list-style-type: none"> Gather the information required to establish the baseline for the project under the guidance of the international consultant; Under the guidance of the international consultant on health and climate change, ensure the development of a national project proposal. As detailed under the project preparation activities, the following components will be required so as to define a comprehensive project proposal: conduct of a capacity and needs assessment of the national health system; establishment of the baseline; identification of project activities and sites; Support the international consultant by proposing institutional arrangements, monitoring and evaluation for the national project. This includes: the definition of the logical framework, the work plan and the project budget; designing a monitoring and evaluation plan; definition of a sustainability plan; definition of management arrangements; the formulation of a stakeholder

Type of Consultant	Position / Title	Estimate Daily Rate	Estimate Days	Tasks to be Performed
				<p>involvement plan; and the definition of a gender mainstreaming plan.</p> <ul style="list-style-type: none"> • Support the international consultants by defining financial planning and co-financing investments. This includes the use of the GEF climate change adaptation tracking tool; the development of a detailed multi-year budget investment plan; the assessment of co-financing possibilities; ensure completion of required endorsement letters. • Suggest SMART indicators that allow monitoring over the project in the context of the approved outcomes; • Prepare background documents under the guidance of the Technical Specialists for the development of a gender action plan • Help forging partnerships and mobilize resources; • Liaise with relevant partners at national level and coordinate relevant inputs so as to finalize the project proposal on time; • Liaise with the international consultants and the project manager from WHO • Develop content, under the guidance of WHO Staff, for a blog on climate change and health as it relates to the proposed project and collaboration between UNDP and WHO

Annex 3: Project Preparation Timeline

Activities	2017								2018			
	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR
Recruitment of consultants	■	■										
Leveling and planning meeting	■	■										
Examination and validation of the action plan and kick-off meeting		■										
Data collection in each of the countries			■	■	■							
Data analysis and report development in each of the countries					■	■	■					
Organize a national meeting to validate report and draft of the logical framework; Prodoc preparation workshop							■					
Elaborate overall project document and finalize national national project documents							■	■	■			
Organize prodoc finalization and validation online meeting involving UNDP, WHO and relevant partners										■		
Proceed to document translation											■	
Ensure coordination, management, execution and monitoring & evaluation	■	■	■	■	■	■	■	■	■	■	■	■

Annex 4: PIF: Building Resilience of Health Systems in Pacific Island LDCs to Climate Change

Attached as a separate document.