**Agreed by**

**Executive Coordinator, UNDP/GEF**

***INITIATION PLAN TEMPLATE***

***for a GEF Project Preparation Grant (PPG)***

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| Adriana Dinu | Signature | Date: day/month/year |
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Total budget:  **US$ 75,000**

Allocated resources:

* LDCF US$ 75,000

CPAP Programme Component:

ATLAS Award ID: 00086553

ATLAS Project ID: 00093780

PIMS Project ID: 5399

Management Arrangement: DIM

**Project Title:** Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)

**Country: Global**

**Expected CP 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

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 February 2015**

**Initiation Plan End Date: 1 February 2016**

1. **Brief Description of Initiation Plan:**

UNDP/GEF, in partnership with UNEP/GEF, recently secured financing for an initiative aimed at “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)”. The project will be financed by the Least Developed Countries Fund (LDCF). The project aims to strengthen the institutional and technical capacities of LDCs to start and/or advance NAPs. It will build primarily on the ongoing global support programme implemented by UNDP and UNEP. This project is to provide support towards the project preparation of the recently approved project by carrying out stakeholder consultations – this phase is referred to as the project initiation plan period.

During the initiation plan period of the project, a number of stakeholder consultations will be conducted with the view to further develop the approved project concept into a fully formulated project document. Consultations will be supported by desk review of support documentation, as appropriate. The final output of the initiation plan will be a [UNDP-GEF project document](http://gef.undp.org/) and [GEF CEO Endorsement template](http://www.thegef.org/gef/node/3627) ready for submission to UNDP and GEF. The documents will be compliant with the specific requirements of the [Least Developed Countries Fund (LDCF)](https://www.thegef.org/gef/sites/thegef.org/files/documents/Step-by-Step%20Guide%20to%20the%20LDCF%20Project%20Cycle.pdf) and conform to UNDP Operational Policies and Guidelines.

Due to the nature of this project which aims to scale-up activities under the ongoing UNDP/UNEP project “Assisting LDCs with Country-Driven Processes to Advance National Adaptation Plans” (NAP GSP for LDCs), the activities carried out under this initiation plan will have to be fully coordinated with its ongoing and planned interventions and its staff will have to be thoroughly consulted during the process.

UNEP will also carry out an initiation plan process for the project, whereby technical expertise will be mobilized to conduct consultations and design the project’s activities under the specific outputs for which UNEP is responsible. Similarly, UNEP will produce a fully formulated project document, for which specific information is needed, differently from the UNDP project document. Both teams of experts (UNDP and UNEP) tasked with the formulation of such project documents will work in close coordination and under the coordinated guidance of the Regional Technical Specialist of UNDP and the Task Manager of UNEP.

1. **Project preparation activities:**
2. Component A: Technical Review

In the context of the proposed initiative (as per the Council approved PIF, attached as Annex II), the consultant(s) working on the project preparation phase, or “Project Development team” will conduct technical and capacity needs assessments, as follows:

1. A **detailed stocktaking** of the ongoing *and planned[[1]](#footnote-1)* activities of the active NAP GSP for LDCs. Separate consultations on the status of each LDC in terms of progress on NAP must be conducted, per the approved PIF to inform the “dynamic baseline” scenario under which all participating LDCs are constantly evolving in terms of progress on NAP (with or without the support of the active NAP GSP).
2. A **technical assessment** of the baseline and co-financing activities (as outlined in the PIF but also considering additional/new baseline and co-financing initiatives) will be conducted, based on desk review of documentation and consultations with active NAP GSP staff and partners, other UN agencies, NGOs and additional relevant organizations. This assessment will be used to identify strengths/gaps that the proposed project could build on/address. The results of the assessment will be used to inform the project design so as to ensure that LDCF resources are additional and complementary to the outcomes that the baseline projects/initiatives are seeking to achieve.
3. The desk review and consultations completed under points a) and b) are particularly critical to formulate the scope and details of the interventions under Component 1 of the proposed project, related to tailored one—on-one support to LDCs.
4. The Project Preparatory Grant (PPG) will also be used to consult with potential beneficiaries (representatives of developing countries to the UNFCCC, Ministry of Planning, Finance and Environment) in the context of ongoing efforts in their countries which aim to integrate climate change risks and opportunities into existing planning and budgeting processes. These consultations are necessary to identify in detail their specific capacity development needs in the context of integrating climate into planning and budgeting. The additionality of the proposed project outcomes will also be justified through the results from these stakeholder discussions. In-person consultations will be carried out with: i) delegates from developing country Parties to the Convention, representative of Planning, Finance and Environment Ministries (where possible) to identify gaps and opportunities and key entry points for support from this project; ii) Potential partner agencies to this project (including UN Agencies, MDB’s, bilateral donors, etc.) must also be consulted to map out collaboration and synergies, as well as to avoid duplication of efforts particularly in light of the partnerships made during the ongoing NAP GSP for LDCs; and iii) LEG and LDC Group members. It is proposed that these consultations take place in the margins of the following workshops/meetings:

* LEG Meeting on NAPs: Livingstone, Zambia (23-27 February)
* LEG Meeting on NAP, NAPA and Other Elements: Bangkok, Thailand (9-14 March)
* Strategic meeting of the LDC Group: Bonn, Germany (18 – 21 April)
* Strategic meeting of the LDC Group: Bonn, Germany (24 – 25 May)
* SBI 42 meeting: Bonn, Germany (1- 11 June)

1. Other agencies that should be consulted include international, regional, and national NGOs and national and regional res earch institutions and academia that can facilitate South-South knowledge exchange on NAPs, as well as trainings and deployment of experts for capacity-building efforts of this project.
2. Develop a stakeholder involvement plan for the implementation phase (including civil society and private sector) to ensure full participation during implementation of the project.
3. Remote consultations must also be carried out, either by e-mail or teleconference.
4. Component B: Institutional arrangements

PPG resources will be used to define the institutional arrangements for the implementation phase of this project including identification of appropriate responsible parties and other partnerships that need to be formed. Activities for this purposes, include:

1. Develop the details for management of the project during implementation. This includes definition of roles and responsibilities for both UNDP and UNEP as implementing partners. A detailed delivery strategy, with clearly identified roles and responsibilities of specific institutions for the overall execution of the project will be specified.
2. Consultations will also serve the purpose of securing agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. This stakeholder participation plan (work-plan/timetable and associated budget) will be one of the outputs of the series of consultations outlined on Section I.
3. Component C: Strategic Results Framework and associated Monitoring and Evaluation Framework:

Project Preparation Grant resources will be used to finance activities to define a detailed Logical Framework including outputs and associated activities, as well as a Monitoring and Evaluation framework for the project, in line with UNDP-GEF requirements. This will include:

1. Definition of the Strategic Result Framework (SRF) with *appropriate baselines and target values* and multi-year work plan and budget for the project. Building on the Council approved PIF, PPG resources will be used to outline a detailed SRF with elaboration of the project goal, objective, outcomes (as per the PIF), detailed outputs and activities. A fully-developed work plan, budget and time frame for implementation will be developed. UNDP’s guidance on M&E frameworks for adaptation projects will be applied and amended as appropriate noting CEO Endorsement requirements. UNDP guidelines as articulated in the RBM framework, as well as LDCF RBM guidelines and Adaptation Monitoring and Assessment Tool (AMAT) tool will be followed in formulating these details.
2. Details on execution of technical activities including requisite reporting procedures will be established. A detailed M&E work Plan and delivery strategy will be defined to include clear identification of responsibilities and institutions, as well as a benchmarked budget allocation, capturing the requirements of the implementing agency vis-à-vis standard reporting and evaluation mechanisms. The Monitoring Plan will include qualitative and quantitative indicators that will measure the state of adaptive capacity at various stages of project implementation. The M&E plan will include provisions for independent evaluation and provision to ensure learning of lessons from implementation. The M&E plan will serve as the base for the completion of Adaptation Monitoring and Assessment Tool (AMAT), in line with LDCF requirements. A complete AMAT Excel file will also be submitted to GEF SEC along with the Project Document.
3. Identification of quantitative and qualitative indicators: using a fully participatory stakeholder approach, (with the guidance of UNDP M&E’s indicators of adaptation projects), the indicators for measuring impacts and verifying the successful delivery of the project objective and outcomes will be defined. This will include definition of SMART impact indicators, baseline and target values, means of verification, and narrative on associated key risks/assumptions.
4. Define 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 key activities/achievements without the need for this specific project.
5. Component D: Financial Planning and Co-financing
6. 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 LDCF M&E Policy.
7. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- LDCF grant phase.

Responses to the various technical and policy level reviews of the PIF and Project Document will be prepared, circulated, and addressed in the PPG phase.

1. **Project preparation activities work plan, timeframe, responsibilities:**

**PPG Timeline**

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| **What** | **By When** | **By Whom[[2]](#footnote-2)** |
| Assemble PPG Team- Issue contract for consultant | 10 April 2015 | RTA and PTA |
| Perform background research on available documentation, including resources and knowledge products produced and/or referred to by the ongoing NAP GSP | 20 April 2015 | IC |
| Draft Strategic Results Framework available for review by RTA | 30 April 2015 | IC |
| Co-financing setup defined and co-financing letters solicited | 30 April 2015 | IC, project partners |
| Implementation and management arrangements defined | 30 April 2015 | ICs, RTA |
| First draft of project document available and shared with RTA and PTA for review | 15 May 2015 | ICs/RTA/PTA |
| Revised draft of full-size project document (including co-financing letters, LoEs, AMAT and all consultations’ results) circulated to UNDP and partners for final review and comments | 30 May 2015 | ICs |
| Complete final round for review and comments from UNEP, RTA, partners, and PTA | 20 June 2015 | RTA, ICs, partners, PTA |
| Complete submission package sent to NY for technical and financial review and clearance | 1 July 2015 | RTA, PTA |
| **Final Submission to GEF SEC** | **15 July 2015** | **PTA** |

**Notes:**

1. IC- international consultant (to be recruited)
2. PTA – Principal Technical Advisor: ***Pradeep Kurukulasuriya***
3. RTA – Regional Technical Advisor: ***Claudia Ortiz***
4. **Total Budget and Work Plan: :**

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| **Award ID:** | 00086553 | **Project ID:** 00093780 |
| **Award Title:** | **PIMS 5399 Global LDCF PPG:** Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) | |
| **Business Unit:** | **UNDP1** | |
| **Project Title:** | Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs) | |
| **Implementing Partner (Executing Agency)** | **DIM** | |

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| **GEF Outcome/Atlas Activity** | **Responsible Party/** | **Fund ID** | **Donor Name** | **Atlas Budgetary Account Code** | **ATLAS Budget Description** | **Amount US$** |
| Project preparation grant to finalize the UNDP-GEF project document for “Expanding the ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).” | **UNDP BRH** | **62160** | **LDCF** | 71200 | International Consultant (lead) | **20,000** |
| 71200 | International Consultant (advisor) | **20,000** |
| 71600 | Travel | **35,000** |
|  |  |  |  |  | **PROJECT TOTAL** | **75,000** |

**Annex 1: GEF CEO PIF approval letter:**

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**UNDP Logo**

**Terms of Reference**

**for INDIVIDUAL CONTRACT**

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| **POSITION TITLE:** | National Adaptation Plans Expert/ Lead in global project development– “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)” |
| **AGENCY/PROJECT NAME:** | BPPS/UNDP-GEF |
| **COUNTRY OF ASSIGNMENT:** | Home based with travel to Thailand and Zambia |
| **DURATION OF CONTRACT:** | 10 April – 31 July 2015 (35 days) |

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| **1) GENERAL BACKGROUND** |
| The Bureau for Policy and Programme Support (BPPS) has the responsibility for developing all relevant policy and guidance to support the results of UNDP’s Strategic Plan.  BPPS’s staff provides technical advice to Country Offices; advocates for UNDP corporate messages, represents UNDP at multi-stakeholder for including public-private dialogues, government and civil society dialogues, South-South and triangular cooperation initiatives, and engages in UN inter-agency coordination in specific thematic areas.  As the UN system's development program and a GEF Implementing Agency since 1991, UNDP also supports countries in addressing development, climate, and ecosystem sustainability in an integrated manner. UNDP-GEF offers countries highly specialized technical services for eligibility assessment, program/project formulation, due diligence, mobilization of required co-financing, project implementation oversight, results management and evaluation, performance-based payments and knowledge management.  UNDP/GEF, in partnership with UNEP/GEF, recently secured financing for an initiative aimed at “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)”. The project will be financed by the Least Developed Countries Fund (LDCF). The project aims to strengthen the institutional and technical capacities of LDCs to start and/or advance NAPs. It will build primarily on the ongoing global support programme implemented by UNDP and UNEP and funded by LDCF, “Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)” or NAP GSP for LDCs. The approved project will be overseen jointly by UNEP and UNDP-GEF.  The preparatory phase for the detailed design of this initiative will take place between 9 February and 31 July 2015, following a detailed *Project Preparation Grant (PPG) Initiation Plan (IP), attached as Annex I*. During this time, various activities will be undertaken to finalise the design of project documents that will govern the activities of the proposed LDCF financed project. These due-diligence related activities will build on those undertaken during the development of the concept *(Project Identification Form- PIF, attched here as Annex II).* One project document and a GEF CEO Endorsement document will be produced in accordance with the various requirements of UNDP, and GEF/LDCF and in close collaboration with UNEP, based on the above information. Comprehensive stakeholder discussions and input including with key civil society representatives will be relied on throughout the design phase.  In the context of the above, UNDP is seeking the services of an experienced individual to lead a series of activities that are necessary for the preparation of the project document to the standard required by UNDP-GEF. |
| **2) OBJECTIVES OF THE ASSIGNMENT** |
| **The consultant is tasked to coordinate the input from all relevant stakeholders to produce the project document (PPG team).** The assignment will involve extensive consultations with UNDP and UNEP staff involved in the ongoing NAP GSP for LDCs, as well as LDC government officials and NAP GSP partner agencies, including GEF, UNFCCC, LDC Group, and the Least Developed Countries Expert Group (LEG), both in person and remotely. Travel to conduct stakeholder consultations may be required to Livingstone, Zambia and Bangkok**,** Thailand in order to meet and consult with targeted beneficiaries, UNDP/GEF staff, UNEP staff, and potential project partners of this project. **Final destinations will be agreed on at the time of appointment.** Significant coordination will be necessary with UNEP, a key partner of UNDP in this initiative, who will finance some members of the PPG team for this initiative. Overall oversight of the consultant and his/her work will be provided by the UNDP/GEF Regional Technical Specialist (RTS). UNDP/GEF will facilitate coordination with key counterparts at UNEP-GEF. |
| **3) SCOPE OF WORK** |
| The consultant will be responsible for the following tasks and ensuring the timely delivery and quality of the following outputs:   1. Preparation of a comprehensive project document to the standard required by UNDP. The project document should be in line with the work proposed in the IP for the PPG phase. The preparation of the project document will include quality control and final formulation of the following indicative sections of a UNDP/GEF compliant document:  * Situation Analysis (climate change-induced problem, long-term solution and barriers to achieving the solution) * Project Strategy (country ownership, project rational and policy conformity, design principles and strategic considerations, project objective, outcomes, and outputs/activities, key indicators, risks, assumptions, cost-effectiveness, sustainability, replicability, stakeholder involvement plan, environmental and social safeguards) * Project Results Framework * Total Budget and Workplan * Management Arrangements * Monitoring Framework and Evaluation * Legal Context * Annexes   + Risk Analysis   + Agreements   + References   + Key assessment reports   + Capacity assessments   + Terms of Reference for Project staff and main consultants and sub-contracts   + Stakeholder involvement Plan   + Letters of co-financing   These sections are indicative; as templates may be subject to change, the consultant will be required to obtain guidance from the RTS (who will coordinate with UNEP/GEF) on applicable formats and templates and ensure that his/her work is compliant with UNDP/GEF. The development of this project document will include all inputs from the PPG team, consolidated by the consultant.   1. Preparation of the CEO endorsement request, to the standard required by UNDP and UNEP, to be prepared in collaboration with UNEP. 2. Preparation of a report of the PPG phase, including financial information. 3. Provision of further project information in response to GEF project reviews.   Further, the consultant will lead the preparation and submission of a detailed work plan with clear milestones and results for the assignment for approval by the UNDP GEF RTS. The work plan will be discussed for coordination purposes with UNEP. |
| **4) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL** |
| |  |  | | --- | --- | | Duration | : 10 April – 31 July 2015 | | Total number of working days | : **maximum of 35 days** | | Duty station | : Home based | | Expected places of travel | : The contractor is expected to travel to Asia, Africa, Europe and LAC | |
| **5) FINAL PRODUCTS** | |

* Detailed reports of consultations to be used as project document’s annexes.
* A project documents following UNDP guidelines (as detailed on Section 3 of this ToR).
* One GEF CEO Endorsement request template (to be completed in collaboration with UNEP).

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| **6) PROVISION OF MONITORING AND PROGRESS CONTROLS** |
| **The consultant will lead and coordinate all members of the PPG team as well as with UNEP and UNDP staff**. The consultant will be supervised by the UNDP/GEF RTS with input from UNEP/GEF.  Payment will be approved by UNDP/GEF RTS, with input from UNEP/GEF. |

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| **7) DEGREE OF EXPERTISE AND QUALIFICATIONS** |
| * Excellent English written communication skills, with analytic capacity and ability to synthesize project outputs and relevant findings for the preparation of quality project reports. * Master’s degree in environment, economics, development, or a closely related field. * A minimum of 10 years relevant work experience. * Demonstrated knowledge of climate change adaptation; inter-governmental climate change processes; and sustainable development. * Knowledge on NAPs is an advantage. * Demonstrated experience in project development, implementation and management. * Ability to pick up new terminology and concepts easily and to turn information from various sources into a coherent project document. * Knowledge of GEF systems, processes and terminology. * Previous successful experience in formulation of LDCF, SCCF, AF and other funds for adaptation projects. * Experience in working and collaborating with governments will be an asset. * Experience in working in LDCs will be an asset. * Experience working in capacity building for climate change adaptation will be an asset. |

1. According to the work plan of the ongoing NAP GSP for LDCs, it is expected under Component 1 that by the end of its lifetime, at least 12 countries would have received one-on-one virtual and/or mission support towards: a) stocktaking of capacity gaps and needs, b) facilitating institutional coordination arrangements to initiate a NAP roadmap, and/or c) providing technical assistance on different NAP elements, including support towards formulating bankable proposals to access finance for such NAP elements and/or roadmaps. [↑](#footnote-ref-1)
2. All activities listed in this timeline will be completed in close coordination with other Implementing Partner, UNEP. [↑](#footnote-ref-2)