



**Project Title:** *Asuncion Green City of the Americas: Pathways to Sustainability*

**Country:** Paraguay

**IP Start Date:** 1 September 2015

**IP End Date:** 30 April 2016

CPAP Programme Component: National and sub-national systems and institutions enabled to achieve structural transformation of productive activities for inclusive and sustainable development

ATLAS Project Award: 00089148

ATLAS Project ID: 00095513

PIMS Project ID: 5188

Management Arrangements: DIM

**Total budget:** **US\$ 100,000**

**Allocated resources:**

• GEF US\$ 100,000

**AGREED BY UNDP RESIDENT REPRESENTATIVE**

Cecilia Ugaz  
Resident Representative  
UNDP Paraguay

Signature

18 AGO.  
Date: day/month/year

18 AGO. 2015

#### **A. Brief Description of Initiation Plan:**

During the Initiation Plan period, a number of baseline studies and stakeholder consultations will be undertaken. The purpose of the PPG is to support the development of the "Asuncion Green City of the Americas: Pathways to Sustainability" FSP (Full Size Project). The IP consists of the project preparatory activities including: (1) Conduct baseline studies and surveys to come up with the pertinent data and information that are required to verify and confirm the earlier identified baseline projects; (2) Conduct a logical framework analysis (LFA) mainly to verify and firm up the project planning matrix (PPM) or results framework (log frame); (3) Identification and assessment of demonstration schemes including calculation of Global Environmental Benefits; (4) Detailed design of the project components and activities; (5) Conduct stakeholder and project partner coordination meetings (e.g., demonstration hosts and co-financers), and establishment of the appropriate project implementation and management arrangements; (6) Preparation of the UNDP-GEF Project Document (ProDoc), UNDP Social and Environmental Standards Template, GEF CEO Endorsement Request (CER) Document and GEF Tracking Tools, based on the GEF-approved project concept, i.e., GEF-approved Child Project (Annex 3); and, (7) Finalization of the ProDoc and CER Document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement template with all required supporting documentation, including but not limited to Co-financing Commitment letters, an Environmental and Social Screening and the relevant GEF Tracking Tools for the above mentioned project ready for submission to UNDP and the GEF within the agreed upon timeframe.

The overall approach for the project strategy and main components of the project were identified during the preparation of the GEF Child Project Concept Note. However, to enable the final assessment, definition and costing of the priority actions, the PPG resources will be used to support more detailed analysis and consultation to define the roles and responsibilities of different institutions for project implementation. The final outputs of the UNDP-GEF Project Document and GEF CEO Endorsement Request template will be achieved through the implementation of 5 component activities in this Project Preparation Phase, namely: A) Technical reviews and studies, B) Institutional arrangements, monitoring and evaluation, C) Financial planning and co-financing investments, D) Validation workshop and E) Completion of final documentation.

#### **B. Project Preparation Activities:**

##### **Component A: Technical reviews and studies**

##### **I. Assessment and technical studies related to baseline, barriers and specific outputs of the project**

These include specific studies required to provide detailed and quantified information and/or expand and validate baselines, barriers and risks identified in the Child Project Concept Note for the development of more specific outputs and baseline data for indicators, and to address specific technical issues and questions raised by the GEF Sec; Council member and STAP.

- i. Analysis of existing baseline initiatives and data availability: At the national and local level to confirm gaps and further define the terms of reference of consultancies required to provide the technical basis and ensure integration of the full project with development plans, policies, budgets and complementary initiatives.
  - a. Validate and expand the description of existing baselines and the expected investments over the project life and identify other initiatives not included in the Child Project Concept Note and their expected investments.
  - b. Further review of the most relevant baseline projects and information to determine the full extent of additional data collection needed. Special attention should be paid to the data produced by projects on transport, waste management and water treatment implemented by the Central and local governments and all GEF and national projects with direct or indirect influence on the improvement of sustainable public services in the City of Asunción and Gran Asunción.



- c. *Stakeholder Mapping*: Identification and description of roles, functions and responsibilities of key stakeholders; assessment of stakeholders interest and participation and identification of key areas for more detail in capacity assessment.
  - d. In the context of gaps and barriers, further analyse how the project will build on the baseline initiatives and the potential contribution of these initiatives to the FSP. This should include the review of past and on-going programs and projects for lessons to build on.
- ii. **Cross Cutting /Outcome 1 Technical Studies**: This studies will assess the country and institutional capacities to deliver multiple health; social; and local, national and global environmental benefits for the development of integrated planning, finance, capacity development, public awareness, disaster risk management and monitoring strategies/systems through:
- a. **An institutional capacity assessment addressing integrated planning, sustainable city finance strategies and disaster risk management planning**: Based on the capacity assessment findings, the study will develop realistic and time bound actions to build institutional capacities, reinforce inclusive inter-stakeholder participation and multi-level governance, and strengthen the project institutional architecture that will be implemented over the life of the project.
  - b. **Mapping of policies and programmes supported/revised by the project**: This study will aim to analyse the current status of relevant laws, policies and programmes in order to seek for synergies and co-financing with the Sustainable City project, as well as maximize national coordination efforts.
  - c. **Social Study on the impact of project's waste management measures on current formal and informal employments and livelihoods**: This study will assess the impact of the formalization of the waste management urban recyclers and other related economic activities that are currently are carried out in landfills (legal and illegal), and will propose measures to mitigate unemployment and explore gender dimensions in the context of the creation of new sanitary landfill employments.

Based on the above mentioned studies, and on the consultation with stakeholders to validate them, planning and institutional actions will be defined to be included on the project component 1 (enabling framework for a green sustainable city) of the full project. The PPG team in charge of developing the studies must take into consideration the gender dimensions of these structural problems and propose actions to address women's risks and opportunities in the re-organization of the employment structure proposed for all sectors involved in the project (Capacity Building, Transport, Waste Management and Protected Areas Management).

- iii. **Targeted technical assessments to develop Outcome 2 (Sustainable Mobility and Transport in Asuncion)**: This studies will assess the current situation of urban transport in Asuncion, and will propose measures to be implemented to reduce GHG emissions from urban transport resulting identified measures. The actions proposed for the PPG phase of the project would be:
- a. **A study on the feasibility of transport interventions aiming at integrating sustainable mobility systems to the multi modal transport system in Asuncion**: This study will present Asuncion present transport infrastructure conditions and will assess the feasibility of implementing various sustainable transport initiatives, including:
    - i. improvement of bus services and maintenance
    - ii. the implementation of a high quality bus rapid transit system (BRT),
    - iii. a network for non-motorised transport (walking, cycling), identifying and assessing relevant green protected areas carrying capacities for hosting these networks.
    - iv. parking policies and traffic management plans.



The study will be developed in close consultation with various government stakeholders, researchers and community representatives to build consensus on the need for planned urban sustainable transport systems.

- iv. **Targeted Studies to develop Outcome 3 (Improved Chemicals and Waste Management Systems):** This studies will assess emissions of UPOPs, GHGs and toxic chemicals in the current waste disposal system and will propose improved waste management measures through:
- UPOPs/GHG emissions calculation study:** This study will aim at estimating rates for the current landfills GHG and UPOPs emissions that will be use in emission inventories through the life of the project and will serve as evidence on the development of sustainable waste management policies at the local and country level.
  - Recycling Centre Feasibility Study:** This study will address the feasibility of designing recycling systems to incorporate them into the whole waste management strategy proposed by the project.
- v. **Targeted Studies to develop Outcome 4 (Protected Area Management Systems Emplaced/Improved):** This studies will assess the management effectiveness of at least 2 SINASIP PAs, to help increasing protection to at least 1% of the global populations of 5 endangered bird species during migration periods. In order to develop the management standards and plans for the project, the following studies should be carried out:
- Feasibility study for offsets and payments for environmental services.**
  - Feasibility/costing study for the strengthening of Valle Asuncion, Parque Guasu and other selected protected areas.**

## II. Studies to address any opportunities/risks identified during an environmental and social standards screening to be further developed during PPG phase

An Environmental and Social Safeguards Pre-Screening (ESSP) has been conducted for the child project. It is expected that these preliminary risk categorization and its mitigation measures will be further developed by the PPG team during the project preparation phase. The PPG team must complete the UNDP Social and Environmental Standards Template to inform project design and to be presented with the Prodoc, CEO Endorsement Request and Tracking Tools at the submission to GEFSec. (See Annex 3 for Child Project Concept Note Risk Analysis and Annex 4 for the ESS Pre-screening carried out at the Child Project Concept preparation).

## III. Identification of specific sites for intervention

The project will be implemented in the metropolitan area of Asuncion (known as Gran Asuncion) in specific locations, by building on important baseline projects that will be executed in the next years to address the main urban problems:

- Transport
- Solid Waste Disposal
- Management of Green Areas

A full description of the Green Areas, as well as dump sites and non-motorised transport paths should be presented as far as possible containing maps and pictures of the specific sites to be intervened by the project.



#### **IV. Integration with development plans, policies, budgets and complementary projects:**

The project is consistent with the National Environmental Policy (2005) and will contribute to the implementation of the Central Government's National Development Plan which promotes, as a general strategy, an urban development that results in a better quality of life and optimizes resources and services based on adequate zoning and territorial articulation between public and private sectors. The project is also aligned with the National Policy on Climate Change, the National Policy on Disaster Risk Reduction, and the National Biodiversity Strategy currently being designed. The project is also consistent with several sectorial plans that includes the Transport Master Plan, the "Franja Costera's Development Plan" and the Zeta Plan. It will build upon the Asunción and Metropolitan Area Waste Management Plan, the Master Plan for Rain Water and Flood Control Plan, and the Asuncion and Metropolitan Area Strategic Master Plan currently being designed.

Through project implementation, contributions will be made to the Third National Communication on Climate Change and to the National Biodiversity Strategy and Action Plan currently being prepared under SEAM's leadership. It will also enable and/or contribute to the enforcement at urban level of several environmental laws such as the Environmental Service Law, the Protected Areas Law, the Wildlife Law and the law on Environmental Crimes, among others.

The project will also contribute to the achievement of several Aichi targets amongst others 3, 11 and 12. For target 3, that relates to incentives for the conservation and sustainable use of biodiversity, Asuncion's city authorities have key mandates and this project will contribute to increasing their role in strategies such as promoting and attracting green investors, and mainstreaming of "payment for ecosystems services" mechanisms. For target 11 that relate to the per cent area of terrestrial and inland water under conservation, the proposed parks, corridors, and municipal parks (public and private) will contribute to reaching national targets. For target 12: related to the prevention of extinction of threatened species, awareness raising campaigns managed by city regional authorities along with NGOs and museums will raise critical attention and funds and provide technical assistance for the conservation of threatened species.

The project development team must ensure that the project is aligned with the GEFs global Integrated Approach Pilot on Sustainable Cities (USD 100 million), including common activities and standard indicators across Child projects. The project must also be aligned with the achievement of the UNDP Strategic Plan Outcome 1: *"Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded"*.

#### **V. Completion of GEF focal area tracking tool and UNDP Social Environmental Standards:**

Complete GEF-6 tracking tools for each of the project components: Climate Change, Chemicals and Waste and Biodiversity with its corresponding METT (BD1) tracking tools will be delivered as part of the technical review component, in conjunction with the technical studies undertaken in item II.

#### **VI. Stakeholder consultations during technical review**

Consultations as part of the technical assessments: As a complement to the technical studies to be undertaken in item I and II stakeholder consultations will be held to obtain data, to engage stakeholders during project design, negotiate partnerships with on-going projects to align their activities and the project to build synergies and to complete the social and environmental screening required by UNDP rules and regulations. These consultations will be documented and reference made to them in the full Prodoc.

Under the leadership of UNDP Paraguay and UNDP Regional Hub, the PPG coordinator will engage other key stakeholders during project design, particularly the Secretariat of the Environment (SEAM), Ministry of Public Works



(MOPC), the National Secretariat of Emergencies, the Ministry of Public Health and Social Welfare and the Municipality of Asuncion. It will also include engage at the technical level with teams working on the most relevant baseline project including amongst others Asuncion's ISWM assessment. In addition, consultations will be held with technical staff in other implementing partner agencies, such as Inter-American Development Bank (IADB) and national NGOs that will be consulted and participate in project design (*see Child Project Concept Note*).

These consultations will be reinforced through regular inter-institutional technical meetings that will accompany the design phase. This includes MOPC, SEAM, and Secretariat for Emergencies, Asunción Municipality, Secretariat of Culture, NGOs, IADB, government baseline projects coordinators and UNDP.

#### **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.

- a. Finalization of 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.
- b. Definition of monitoring and evaluation (M&E): 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.
- c. 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 of long-term international financing.
- d. Definition of management arrangements: As this is a large, complex project, the definition of management and implementation arrangements will be undertaken in detail to ensure that these are appropriate to deliver this project within the planned resources and timeframes. For this latter, a full assessment will be undertaken to identify the support needed to ensure expedited procurement. An overall procurement plan will be developed for the project and a detailed one for at least the first year. Terms of reference for the main studies and contracts will be developed by the PPG team.

A Pre-PAC will be held several months before submission, to review these implementation arrangements, allowing finalization within the timeframe for PPG phase.

As regards to management arrangements, the organizational structure governing the project will be decided. This will include identification of the project board.

- e. 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.

**Component C: Financial planning and co-financing investments:**

- a. 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.
- b. Explore national, local, 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- GEF grant phase.
- c. 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.
- d. Stakeholder consultations during Component C: Stakeholder consultations will be held in order to ensure consistency and commitment with the financial investments needed to implement the project activities.

**Component D: Validation workshop**

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft Project Document, CEO endorsement, GEF Tracking Tool and UNDP Social and Environmental Standards.

**Component E: Completion of final documentation**

- a. Consolidation of all technical and consultation inputs into a clearly written UNDP Prodoc document with all relevant sections and annexes.
- b. Development of a project document in the national format in Spanish in parallel to the regular GEF/UNDP format.
- c. Completion of a CEO endorsement request form.
- d. Translation of UNDP Prodoc document into host country language and any further documentation required for preparing implementation.

*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.



Project preparation activities work plan, timeframe, responsibilities and budget:

PPG Activity	Timeframe (in months) <sup>1</sup>												Responsibility	Budget
	1	2	3	4	5	6	7	8	9	10	11	12		
Component A														US\$
Component B														
Component C														
Component D														

<sup>1</sup> If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document  
UNDP-GEF Guidance for UNDP Initiation Plan for GEF funded projects



**Total Budget and Work Plan:**

<b>Award ID:</b>	00089148
<b>Award Title:</b>	PPG: Asuncion Green City of the Americas: Pathways to Sustainability
<b>Business Unit:</b>	PRY10
<b>Project Title:</b>	PPG: Asuncion Green City of the Americas: Pathways to Sustainability
<b>Project ID:</b>	00095513
<b>PIMS ID</b>	5188
<b>Implementing Partner (Executing Agency)</b>	Secretariat of Environment together with Municipality of Asuncion, Ministry of Public Works, National Secretariat for Emergencies

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 project "Asuncion Green City of the Americas: Pathways to Sustainability"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	20,000
				71300	Local Consultants	65,000
				74100	Professional Services-Reporting (Translation)	3,000
				72500	Supplies	3,000
				74500	Miscellaneous Expenses	2,000
				75700	Trainings (consultations)	7,000
				PROJECT TOTAL		

Annex 1: GEF CEO PPG approval letter



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

**Naoko Ishii**  
CEO and Chairperson

May 27, 2015

Ms. Adriana Dinu  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
New York, NY 10017

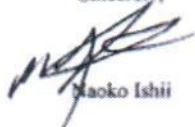
Dear Ms. Dinu:

I am pleased to inform you that I have approved your request for project preparation grant for the project concept detailed below:

Decision Sought:	Project Preparation Grant (PPG) Approval
GEFSEC ID:	9127
Agency(ies):	UNDP
Agency ID:	5188 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Full Size Project
Country(ies):	Paraguay
Name of Project:	Asuncion Green City of the Americas æ Pathways to Sustainability
Parent Program:	Global: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,000
Funding Source:	GEF Trust Fund

This 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 GEF focal areas strategies and in line with GEF policies and procedures.

Sincerely,



Naoko Ishii

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

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## Annex 2: Summary of Consultants Financed by the Initiation Plan

Summary Tasks to be Performed	
Local Consultants	
	Local project facilitator
	Transport measures + GHG emission reductions
	Institutional capacity assessment
	Development of social and environmental standards procedure (SESP) including Social and Gender Assessment
	Feasibility study for offsets and payments for environmental services:
	Feasibility/costing study for the strengthening of Parque Guasu and other selected protected areas.
International consultants	
-	Project Preparation Team Leader
-	Chemicals and waste consultant

**International Project Preparation Team Leader:** The Team Leader is a project formulation specialist responsible for preparing the UNDP/GEF Project Document and CEO Endorsement Request, based on the inputs prepared by the PPG team of national consultants and technicians from the SEAM and other national institutions, coordinating directly with UNDP (Paraguay Office and Panama Regional Office) with at least two missions to Paraguay and home-based work and ensuring the quality of the documents in accordance with GEF and UNDP policies and procedures.

Will carry out the following tasks:

### *Project Preparation:*

- Provide an overall orientation to the PPG team in relation to GEF and UNDP requirements for project planning and monitoring.
- Provide support to UNDP and SEAM in drafting Terms of Reference for additional consultancies required to develop the Full Size Project, as described in this IP document.
- Provide methodological guidance for data collection related to project planning and monitoring with particular attention given to the description and quantification of the baseline investments.
- Based on the inputs from the PPG team compile final baseline/situational analysis for the FSP. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; and definition of GEF incremental value per outcome and output.
- Based on the inputs from the PPG team and the best international practice, prepare a quantified assessment of global environmental benefits, as well as the socio-economic benefits of the proposed interventions at national and local levels.
- Based on the inputs of the PPG team, prepare the required Project Document sections on: (a) An assessment of the social, economic and financial sustainability of proposed project activities; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measures to mitigate these risks; (e) incremental cost analysis.
- Based on the inputs of the PPG team, prepare the project planning and monitoring instruments, including the project's results framework with a set of indicators, baselines and targets, as well as complete the GEF tracking tools for the selected focal areas: Climate Change Mitigation, Biodiversity, and Chemicals and Wastes. Finalize the M&E plan and budget.



- Ensure alignment of the Child project with the GEF Integrated Approach Pilot on Sustainable Cities.
- Based on inputs of the PPG team draft ToRs for the key consultants/contracts to be employed by the project.
- Based on national experts input, elaborates Stakeholder Involvement and Public Participation plan.
- Based on national experts input, develop an action plan for incorporation of gender aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP guidance.
- Performing final reviews of the required project documentation.
- Provide inputs for the Environmental and Social Safeguard Screening following the UNDP procedure.

The Key deliverable of the Lead Project Preparation Specialist will be a final comprehensive project document in UNDP format, the CEO Endorsement Request template, as well as the Tracking Tool for each thematic area and the Social Environmental Standards Procedure Template.

Preparation of this key deliverable will include quality control and final formulation of the following indicative sections of a UNDP/GEF compliant project document:

- Situation Analysis (including proposal sections on context, threats/root causes/barriers analysis, institutional/sectoral/policy context, stakeholder analysis, business-as-usual-analysis, gender issue analysis, business-with-GEF-analysis)
- Project Strategy (including proposal sections on project rationale and policy conformity, project goal, objective, outcomes, outputs and activities, project indicators, risks and assumptions, country ownership, sustainability and replicability)
- Institutional and Management Arrangements
- Monitoring and Evaluation Plan and Budget
- Incremental Cost Analysis
- Strategic Results Framework (formerly Logical Framework Analysis)
- Project risk analysis and proposed mitigation measures
- Total Budget Work plan
- Project Organigram
- Project timetable
- Terms of Reference for Project staff and main consultants and sub-contracts
- Stakeholder involvement Plan including vulnerable groups.
- Co-financing letters from stakeholders
- Annexes and additional information annexes including UNDP environmental and social screening.

These sections are indicative; As templates may be subject to change, the project preparation specialist 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.

#### **Qualifications:**

##### *Education*

- Environmental academic background, energy systems, environmental management, physics, electrical engineering or related discipline

##### *Experience*

- Extensive experience in environmental projects, with demonstrated experience in project implementation and reporting;
- Extensive experience in the design of high complexity environmental/sustainable development projects, ranging from US\$ 3 million or more; GEF project design experience is highly desirable.
- Excellent communications skills both in Spanish and English.