

**United Nations Development Programme (UNDP)
Regional Service Center for Latin America and the Caribbean**

**Substantive Revision
Date 21 November 2011**

Project Title:	Strengthening National Capacities to meet MDGs in Latin America and the Caribbean
Expected RPD Outcome(s): <i>(Those linked to the project and extracted from the Regional Programme Document- RPD)</i>	Cross cutting Capacity Development is integrated into governments' policies and practices and institutional capacities strengthened.
Expected RPD Output(s): <i>(Those linked to the project and extracted from the Regional Programme Document- RPD)</i>	1. Quality advisory services provided in support of capacity development processes for public institutions and implementing partners. 2. Quality Knowledge, communicational and marketing materials produced and/or shared to strengthen and promote CDLAC's services.
Executing Entity:	UNDP Regional Centre for Latin America and the Caribbean
Implementing Agencies:	UNDP Regional Centre for Latin America and the Caribbean

Regional Programme Period: 2012– 2013 Key Result Area (Strategic Plan): Capacity Development Atlas Award ID:00057479 Start date: 1 January 2011 End Date:31 December 2013 PAC Meeting Date: _____ Management Arrangements: Direct Execution	INPUTS	Actual Budget (USD)	Previous Budget (USD)	Variation (USD)
	Total resources required:	<u>135,000</u>	<u>160,000</u>	<u>-15,000</u>
	Total allocated resources:	<u>135,000</u>	<u>160,000</u>	<u>-15,000</u>
	Regular :			
	Other:			
	Donor	RBLAC	RBLAC	
	Donor	CDG	CDG	
	Government			
Unfunded budget:	0	0		
In Kind Contributions	0	0		

Agreed by:	Name	Title	Date	Signature
RBLAC				
UNDP (Executing Entity)				

I Brief Background of the Project

The UNDP Strategic Plan 2008 – 2011 positions capacity development as the organization's core service to programme countries. This is framed by the 2007 UN Triennial Comprehensive Policy Review (TCPR), which stresses the importance of effective institutions and national capacity development efforts and calls upon the UN to support them. An increasing number of national development strategies emphasize the prominence and essential place of capacity development in achieving a country's development objectives, as well as the need to resource it adequately over the long-term.

Concurrently, the LAC Regional Programme for 2008-2011 focused its efforts on reducing the persistent poverty and inequalities of the region, in addition to outlining responses to emerging challenges. The PRODOC, Strengthening National Capacities to meet the MDGs in Latin America and the Caribbean was approved on June 29, 2009. Throughout the remainder of that year the strategic objective of the newly formed CD LAC team was to mainstream the corporate Capacity Development approach into the policies and practices of UNDP (and the UN). This included positioning the new corporate vision on capacity development as a cross cutting issue, adapting the corporate methodology to the needs of the region, in addition to mapping and responding to the demands from different practice areas of the Regional Center and country offices. In 2010, CDLAC began receiving requests for Capacity Development services and processes, from different Country Offices, Regional Service Centre Practice Areas y UN Agencies. Throughout 2011, CDLAC has continued responding to demand, collecting best practices and forging strategic partnerships.

At the present, the CDLAC team, in collaboration with the Country Offices and UNCTs, has support national authorities in 9 different countries with Capacity Assessments and Capacity Development processes, has completed one entire Capacity Development Cycle, and has participated in three interagency country assessments regarding national capacities for Disaster Risk Reduction, one of which included a Capacity Development process for the National Emergency System. Three Communities of Practice and one Associate Experts Network have been established and are maintained active through workshops, electronic digests and Teamworks. Strategic partnerships have been formed with the Inter-American Development Bank, the Inter-American Network for Public Administration Education, the Center for International Strategic Thinking (CEPEI in Spanish), the Latin American Secretary General (SEGIB in Spanish), the University of Panama and various other UN agencies. In terms of Aid Effectiveness, the CDLAC Team has supported countries in region in their preparation of the Paris Declaration Monitoring Survey, in preparation for the 4th High Level Forum on Aid Effectiveness in Busan, South Korea and with select policy advice regarding the International Aid Transparency Initiative (IATI) and Aid Information Management Systems (AIMS). Capacity Development and Aid-Effectiveness initiatives are a part of one programme framework and will continue to work in concert with South-South Cooperation Project (Award ID 00056668) to effectively approach the three issues when addressing regional and country needs.

II Justification of the Substantive Revision

In 2009 the Capacity Development Team at the Regional Center in Panama, was establishing itself as a Practice Area in the Regional Center, and it was necessary to include in the work plan very specific outputs and activities which would (i) lead to increased awareness and understanding of the Capacity Development methodology and the services provided by the CDLAC team in order to generate demand for such services, (ii) permit the CDLAC team to gain an understanding of the CD needs in the region by researching and recording evidence of the contribution of capacity development to poverty reduction and institutional trends, and (iii) adapt the CD methodology to the specific needs of this region. The result of this was a very detailed and specific work plan with 4 (four) outputs and 26 (twenty-six) activities.

In 2010, after a year of implementation, it became evident that some activities were overlapping, which made budget allocation and reporting cumbersome. A substantive revision was undertaken to eliminate unnecessary, redundant activities leaving a work plan with 4 (four) outputs and 14 (fourteen) activities.

After another year of implementation, the circumstances in which the project operates have changed considerably. The Capacity Development approach is more widely known and understood among the UN Country Teams and the UNDP Country Offices and other practice areas in the Regional Center, which has generated more demand. Hence, the CDLAC team is spending more time, energy and money on responding to demand and maintaining the learning networks established than positioning the corporate Capacity Development approach. Furthermore, CDLAC has identified trends in the motives for requesting CDLAC's services and in the different sectors which request CDLAC's services. For instance, the Country Offices tend to request CDLAC services for one of four motives: (i) the government

counterpart is unable to achieve its objectives, (ii) the government counterpart has a low level of implementation, (iii) the government counterpart has a new leader who wants to know the institutions strengths and weaknesses or (iv) the Country Office is initiating a new project and they include capacity development from the beginning. CDLAC services are most often requested for Disaster Risk Reduction and environmental projects (climate change, protected areas, etc.). The identification of these trends has allowed CDLAC to further streamline its work. Additionally, due to the economic crisis and severe budget cuts both in the Regional Center and the Country Offices, it will be necessary for CDLAC to streamline its activities into a more cost-effective work plan, focusing more on 5 hotspot countries, Peru, El Salvador, Belize, Haiti and Colombia, and providing support for processes of institutional transformation in these countries, while responding to demand from other countries, as well as including more emphasis on partnerships and CD learning platforms (CoPs, Associate Expert Networks, etc) and eliminating some specific activities.

The project Strengthening Capacities in Latin America and the Caribbean will expire on 31 December 2011. Instead of simply extending the project, the CDLAC team would like to take advantage of this juncture to substantially revise the work plan, proposing a strategic change reducing the number of outputs and streamlining them so that overlapping activities are merged, adjusting the work plan to a reduced budget and including specific indicators measuring the focus on gender equality within capacity development work and capacity development to increase gender equality. According to the guidelines for Project Revisions (see POPP, Running a Project, section 2.5), this proposed change in the design of the project would qualify as a substantive revision.

III Summary of the Substantive Revision

The substantive revision will reduce the number of outputs from 4 (four) to 2 (two) at the same time reorganizing the work done into 2 (two) broad categories, Capacity Development processes and the research, systematization and distribution of knowledge about capacity assets and capacities needs in Latin America and the Caribbean which will contribute to the overall increase of capacity in public institutions in the region, and will reduce the number of activities from 14 (fourteen) to 8 (eight).

Output 1 (project ID 00071030, aligned with RBLAC Outcome 38: Strengthened regional capacities to adapt to climate change and increase the use of renewable energy sources) to be closed. New output titled "Quality advisory services provided in support of capacity development and development effectiveness for institutions, UNDP COs, UN Agencies, and CSOs" to be established containing 5 activities: 1. Provide policy advice and technical support, including multi-sectoral/thematic capacity development processes to public institutions, COs, UN Agencies and CSOs; 2. Provide policy advice for appropriate capacity development mainstreaming; 3. Continuously engage and strengthen strategic partnerships; 4. On the basis of a selection of hotspot countries, continuously promote CD dialogues and the establishment of CD Facilities.

Output 2 (project ID 00071031, aligned with RBLAC Outcome 36: Strengthened regional, national and local capacities to manage and mitigate the risks of disasters) to be closed. New output titled "Quality Knowledge, communication and marketing materials produced and/or shared to strengthen and promote CDLACs advisory services" to be established containing 3 activities: 1. Carry out, systematize and disseminate research on initiatives, case studies, good practices or testimonials on exemplary and well performing institutions in the region; 2. Provide support to and work together with HQ, the RSC, UN Agencies and Country Teams in the development of policies, documents, reports and tools on making public institutions work better; 3. In collaboration with CDG and the RSC develop, strengthen and disseminate informative portfolio documents, bulletins, websites and networks with services and products offered by BDP/CDG and the CD unit.

Output 3 (project ID 00071032) and Output 4 (project ID 00071033) and all of the corresponding activities are to be closed.

Please find the proposed work plan attached.

The CDLAC team will also continue to implement Award 00056668, project 00070170, Activity 4 (Institutions, Country Offices or Country Teams supported to engage in South South Cooperation initiatives) along side Capacity Development work plan as stated in the original PRODOC.

IV Finances:

Since the new work plan will become effective the 1 January 2012, there is no need to adjust the budget for the remainder of 2011. The budget for 2012 will take into account a probably reduction in funds from RBLAC of 12% from USD 110,000 to USD 96,800 and USD 50,000 from CDG. Due to the aforementioned economic crisis and changes in

funding priorities resulting in a limited ability to mobilize resources, the unfunded budget has been eliminated. Therefore, the total working budget for 2012 will be USD 146,800.

Please find the proposed budget attached.

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Regional Programme Document - Results and Resource Framework:					
<i>Area 3, Outcome 36: Crisis Prevention and Recovery, Strengthened regional, national and local capacities to manage and mitigate risks of disasters, Area 4, Outcome 38: Energy and Environment, Strengthened regional capacities to adapt to climate change and increase the use of renewable energy sources</i>					
Outcome indicators, baseline and targets as stated in the Regional Programme Document - Results and Resources Framework. Area 3, Outcome 38: Energy and Environment, Strengthened regional, national and local capacities to manage and mitigate the risks of disasters, Area 3, Outcome 36: Crisis Prevention and Recovery, Strengthened regional capacities to adapt to climate change and increase the use of renewable energy sources					
Applicable Key Result Area (from 2008- 2011 Strategic Plan): Crisis Prevention and Recovery, Energy and Environment					
Partnership Strategy: Governments, United Nations entities, Universities, Networks of Universities COs, CSOs, bilateral donors, private sector, SEGIB, IADB, WB					
Project title and ID (ATLAS Award ID): 00057479 - Strengthening national capacities to meet the MDGs in Latin America and the Caribbean.					
INTENDED OUTPUTS	OUTPUT TARGETS FOR 2012	OUTPUT TARGETS FOR 2013	INDICATIVE ACTIVITIES	IMPLEMENTATION ENTITY	INPUTS
<p>Output 1 (Project ID 00071030): Quality advisory services provided in support of capacity development processes for public institutions and implementing partners.</p> <p>Indicators: Activity 01: Number of public institutions or implementing partners supported with Capacity Development processes (including CD, AE, LSD-PPP); Number of tools adapted</p>	<p>Targets 2012</p> <p>-At least 5 public institutions or implementing partners supported with CD processes; Gender perspective mainstreamed into at least 3 CD processes; at least 3 tools adapted; CD for the promotion of</p>	<p>Targets 2013</p> <p>-At least 5 public institutions or implementing partners supported with CD processes; Gender perspective mainstreamed into at least 3 CD processes; at least 3 tools adapted; at least 1 public</p>	<p>01. Provide policy advice and technical support to, including multi-sectoral/thematic capacity development processes to public institutions and their implementing partners generate public value</p> <p>02. Provide advisory services for the appropriate inclusion of the capacity</p>	<p>UNDP (CDLAC, RSC, COs, HQ)</p> <p>UN Agencies (UNFPA, UNHCHR, UNHABITAT, etc.)</p> <p>Governmental and non-governmental</p>	<p>71200 International Consultant –</p> <p>71600 Travel and DSA</p> <p>74500 Miscellaneous –</p> <p>71300 Local Consultant</p> <p>74200 Audio Visual and print</p>

<p>Activity 02: Number of trainings on CD carried out; Number of UNDAFs, CPDs, CPAPs, PRODOCs or other corporate documents supported in Capacity Development Mainstreaming.</p> <p>Activity 03: Number of activities conducted with partners.</p> <p>Activity 04: Number of hotspot countries where a CD Facility (CDF) has been established; Number of strategic exchanges made with CoPs; Number of Hotspot countries where a CD Dialogue (CDD) has been established.</p> <p>Baseline: Throughout 2009-2011 innumerable interventions were made in at least 11 different countries with the COs and governments to the satisfaction of the client. The corporate CA tool has been adapted to 8 different areas/sectors: Disaster Risk Reduction; HIV/AIDS; Commerce; preparation for Climate Change; preservation of protected</p>	<p>Gender Equality tool piloted in collaboration with the Gender Team in at least 1 public institution or implementing partner.</p> <p>-At least 2 trainings on CD; at least 1 training includes a session on CD for the promotion of gender equality; CD mainstreamed in at least 4 UNDAFs, CPDs, CPAPs, PRODOCs.</p> <p>-At least 2 activities conducted with partners.</p> <p>-At least 1 CDF established; at least 10 strategic exchanges made with CoPs; at least 1 exchange with CoP about CD for the promotion of gender equality; at least 1 CDD established;</p>	<p>institution or implementing partner supported with CD process for the promotion of gender equality.</p> <p>-At least 2 trainings on CD; CD mainstreamed in at least 4 UNDAFs, CPDs, CPAPs, PRODOCs.</p> <p>-At least 2 activities conducted with partners.</p> <p>-At least 1 CDF established; at least 10 strategic exchanges made with CoPs; at least 1 exchange about cD for the promotion of gender equality, at least 1 CDD established.</p>	<p>development approach in programmes, policies, projects, documents and trainings.</p> <p>03. Continuously engage and strengthen strategic partnerships.</p> <p>04. Provide platforms and opportunities for CD and development effectiveness learning and sharing of experiences and expertise on the basis of a selection of hotspot countries to continuously promote Capacity Development in LAC</p>	<p><i>institutions in the regions, Universities, Centers of Information, Academic Networks, etc</i></p>	<p>75700 Trainings, Workshops and Conferences</p> <p>TOTAL: US\$ 124,800.00</p>
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areas; and regional governance; Housing Ministries and procurement. 5 activities with partners; 0 strategic exchanges with CoP; 0 CDF; 0 CDD					
Output 2 (project ID 00071031): Quality Knowledge, communicational and marketing materials produced and/or shared to strengthen and promote CDLAC's services Indicators: Activity 05: Number and quality of knowledge products available Activity 06: Number of marketing/communication materials produced jointly. Activity 07: Number of CDLAC communication materials produced. Baseline:	Targets 2012 -10 testimonials, case studies, good practices or other knowledge products produced. - 10 marketing and/or communication materials produced. -5 knowledge products available -	Targets 2013 -10 testimonials, case studies, good practices or other knowledge products produced. - 10 marketing and/or communication materials produced. -5 knowledge products available -	05. Carry out, systematize and disseminate research on initiatives, case studies, good practices or testimonials on exemplary and well-performing institutions in the region. 06. Provide support to and work together with HQ, the RSC, UN Agencies and Country Teams in the development of policies, documents and reports. 07. In collaboration with HQ, the RSC, UN Agencies and COs, develop, strengthen and disseminate informative portfolio documents, bulletins, and web sites with services and products offered by BDP/CDG and the CD Unit.	<i>UNDP (CDLAC, RSC, COs, HQ)</i> <i>UN Agencies (UNFPA, UNHCHR, UNHABITAT, etc.)</i>	<i>71200 International Consultant –</i> <i>71600 Travel and DSA</i> <i>74500 Miscellaneous –</i> <i>71300 Local Consultant</i> <i>74200 Audio Visual and print</i> <i>75700 Trainings, Workshops and Conferences</i> <i>TOTAL: US\$ 22,000.00</i>

IV. ANNUAL WORK PLAN

Year: 2012

	4. Provide platforms and opportunities for CD learning and sharing of experiences and expertise on the basis of a selection of hotspot countries, continuously promote CD and development effectiveness in LAC.	X	X	X	X	UNDP (CDLAC, RSC, COs, HQ) UN Agencies (UNFPA, UNHCHR, UNHABITAT, etc.) Governmental and non-governmental institutions in the regions, Universities, Centers of Information, Academic Networks, etc	RBLAC	75700 Trainings and workshops 74500 Miscellaneous	6,000 500
	TOTAL ACTIVITY 4								6,500
TOTAL OUTPUT 1									
									111,900
Output 2: Quality knowledge, communication and marketing materials produced and/or shared to strengthen and promote CDLACs advisory services	5. Carry out, systematize and disseminate research on initiatives, case studies, good practices or testimonials on exemplary and well-performing institutions in the region	X	X	X	X	UNDP (CDLAC, RSC Clusters, COs, HQ)	RBLAC CDG	74200 Audio Visual and Print 74500 Miscellaneous	14,900 5,100
	TOTAL ACTIVITY 5								20,000
	6. Provide support to and work together with HQ, the Regional Service Center, RSC practice areas, UN agencies and Country Teams in the development of policies, documents, reports and tools on making public institutions function better	X	X	X	X	UNDP (CDLAC, RSC, COs, HQ) UN Agencies (UNFPA, UNHCHR, UNHABITAT, etc.)	CDG	74220 Translations 74500 Miscellaneous	1,900 100
	TOTAL ACTIVITY 6								2,000
	7. In collaboration with CDG, the RSC and other practice areas, develop, strengthen and disseminate informative portfolio documents, bulletins, we sites and networks with services and products offered by BDP/CDG and the CD unit.	X	X	X	X	UNDP (CDLAC, RSC, COs, HQ)	RBLAC	74200 Audio Visual and Print 74500 Miscellaneous	1,000 100

and promote CDLACs advisory services	6. Provide support to and work together with HQ, the Regional Service Center, RSC practice areas, UN agencies and Country Teams in the development of policies, documents, reports and tools on making public institutions function better	X	X	X	X	UNDP (CDLAC, RSC, COs, HQ) UN Agencies (UNFPA, UNHCHR, UNHABITAT, etc.)	CDG	74220 Translations 74500 Miscellaneous	1,900 100
	TOTAL ACTIVITY 6								2,000
	7. In collaboration with CDG, the RSC and other practice areas, develop, strengthen and disseminate informative portfolio documents, bulletins, we sites and networks with services and products offered by BDP/CDG and the CD unit.	X	X	X	X	UNDP (CDLAC, RSC, COs, HQ)	RBLAC	74200 Audio Visual and Print 74500 Miscellaneous	1,000 100
	TOTAL ACTIVITY 7								1,100
TOTAL OUTPUT 2									13,100
TOTAL PROJECT									135,000

** USD 20,000 of this amount is reserved for an evaluation of the project in the last quarter of 2013

ANNEX 1: OFFLINE RISK LOG

(see [Deliverable Description](#) for the Risk Log regarding its purpose and use)



	Description	Date Identified	Type	Impact & Probability	Countermeasures/ Management response	Owner	Submitted, updated by	Last Update	Status
1	Organizations and Institutions involved in Capacity Development activities, do not ensure continued human resources are assigned to carry out the programs in each country.	March 2009	Strategic	Probability = 3 Impact = 4	Maintain fluid and permanent communication with country offices and participating institutions/organizations.	Project Manager RRs	Chief Unit	October 2011	Stable
2	Elections and changes in government (including turnover of staff) affect negatively the continuity of priorities, engagement and collaboration, and this project results.	April 2009	Strategic Political	Probability = 3 Impact = 4	Monitor election results; suggest continuity measurements to COs and Governments; promote and strengthen ownership; identify Governments with continued interest	Project Manager	Chief Unit	October 2011	Stable
3	Donor priorities change and fundraising for 2012 becomes challenging, especially due to the financial crisis.	April 2009	Economic Strategic	Probability = 2 Impact = 4	Identify alternative sources of financing; continuously maintain and demonstrate relevance and results	Project Manager	Chief Unit	October 2011	Stable
4	Capacity Development is not a priority among Country Office staff	April 2009	Strategic	Probability = 2 Impact = 4	Active reference to and usage of Strategic Plan with CD mandate; alignment to UNDAFs and CPAPs, referring to CD commitments; provision of continued support to COs; demonstration of relevance to COs and their work	Project Manager RRs	Chief Unit	October 2011	Stable
5	Low demand for CD for the promotion of Gender Equality.	October 2011	Strategic	Probability = 3 Impact = 4	Finalization of new tool in collaboration with Gender Team and active promotion of the new tool.	Project Manager	Chief Unit	October 2011	Stable

V. ANNEXES

A. MINUTES OF THE PAC MEETING (a Project Appraisal Committee meeting with the participation of the key stakeholders should review the substantive revision previous to its signing. A minute of this meeting should be prepared).

B. Supporting Documents for Substantive Revision