



**Region: Latin American and Caribbean
Initiation Plan**

Project Title:	Support to Strengthening the Crisis Prevention and Recovery Capacities of UNDP Country Offices in Latin America and the Caribbean
Expected Regional Programme Outcome(s):	Outcome 1: Capacities of national institutions to manage crisis strengthened; Outcome 2: Regional, national and local capacities to assure citizen security including access to justice strengthened; Outcome 3: Strengthened regional, national and local capacities to manage and mitigate the risks of disasters
Initiation Plan Start Date:	15 April 2010
Initiation Plan End Date:	15 November 2010
Executing Entity:	UNDP – Regional Centre for Latin American and the Caribbean.
Implementing Entity:	UNDP – Regional Centre for Latin American and the Caribbean.

Brief Description

The purpose of this to Initiation Plan is to support strengthening of the capacities of UNDP Country offices in LAC region to contribute to national efforts to manage crisis, improve citizen security and manage and mitigate the risks of disasters. This will be achieved through provision of technical advisory services in the Crisis Prevention and Recovery practice area, strengthening the thematic communities of practice, development of policy options and advocacy activities, sharing and generating knowledge on Crisis Prevention and Recovery and fostering South-South Cooperation.

The results of the intervention and the lessons learned during the execution of the present Initiation Plan will feed the Regional Project Document to Support Strengthening of the Crisis Prevention and Recovery Capacities of UNDP Country Offices in Latin America and the Caribbean, which will be elaborated upon completion of the present IP and guided by the recommendations of the Regional Program Thematic Advisory Panel for Crisis Prevention and Recovery.

Regional Programme Period: 2008 - 2011	Total resources required 287,600
Regional Programme Component: Crisis	Total allocated resources: 287,600
Prevention and Recovery	Regular 287,600
Atlas Award ID: 00059588	• Other:
PAC Meeting Date _____	o Donor _____
	o Donor _____
	o Donor _____
	o Government _____
	Unfunded budget: _____
	In-kind Contributions _____

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

I. PURPOSE

UNDP plays a fundamental role in assisting the countries in preventing the crises and mitigating its effects while supporting the recovery purposes with the strong focus on Human Development and striving towards achievement of Millennium Development Goals. Reestablishment of security in communities, restoration of social cohesion and promotion of reconciliation activities are indispensable elements of a sustainable recovery after a violent conflict or a natural disaster.

The Regional Service Centre for Latin America and the Caribbean plays a crucial role in supporting development agendas in the LAC through strengthening technical and managerial capabilities of UNDP offices as well as regional, national and local institutions through promotion of national ownership and capacity development, advancing the United Nations reform and the harmonization of agendas.

As stipulated in the Regional Programme Document for Latin America and the Caribbean for 2008-2011, the interventions in the Crisis Prevention and Recovery Practice Area in LAC focus on enhancing the conflict prevention and natural disaster-risk reduction and management capabilities in the region. Through its support to the Country Offices the RSC LAC contributes to strengthening the capacities of institutions to manage crisis, by supporting dialogue and consensus-building spaces; supports tools and systems for institutions to develop their own crisis management capacity according to local situations; mainstream crisis prevention in development policies and programming; assure citizen security and access to justice through integrated programmes, and development of instruments to support professional police forces and justice sector reform; support to critical border areas particularly vulnerable to conflicts; development of policies and mechanisms for improved Disaster Risk Reduction and recovery.

In this context, the purpose of this initiation plan is to support the strengthening the capacities of UNDP Country offices in LAC region to contribute to national efforts to manage crisis, improve citizen security and manage and mitigate the risks of disasters. This will be achieved through provision of technical advisory services in the Crisis Prevention and Recovery practice area, strengthening the thematic communities of practice, development of policy options and advocacy activities, sharing and generating knowledge on issues pertinent to Crisis Prevention and Recovery and fostering South-South Cooperation.

The results and lessons learned during the execution of the present Initiation Plan will feed the Regional Project Document to Support Strengthening of the Crisis Prevention and Recovery Capacities of UNDP Country Offices in Latin America and the Caribbean, which will be elaborated upon completion of the present IP and based on the recommendations of the Regional Program Thematic Advisory Panel for Crisis Prevention and Recovery.

II. EXPECTED OUTPUT

The present Initiation Plan has three expected outputs:

Output 1: LAC COs receive technical assistance to support national and local institutions to prevent and manage conflicts; facilitate inclusive and participatory dialogue processes; build and strengthen knowledge, expertise and partnership on Conflict Prevention and democratic dialogue.

This will be achieved through: Provision of technical advisory services by the Conflict Prevention Advisor as requested by the Country Offices; promoting Bi-national dialogues in 2 countries with political tensions; facilitation of national and local consultative processes in at least 3 countries; establishing a Conflict Prevention Community of Practice and organizing the first meeting of the

Community of Practice on Conflict Prevention in the region; set up and training of the roster on Conflict Prevention.

Output 2: LAC COs receive technical assistance to support national and local institutions to address citizen security issues and to contribute to the improvement of the gender dimension in the citizen security in the region.

The activities to achieve this output include: Organization of the Citizen Security Community of Practice workshop; undertaking joint consultations with PAPEP in 2 countries; and supporting the implementation of the SG campaign on gender based violence and the analysis of UNDP comparative advantage

Output 3: LAC COs receive technical assistance to support gender sensitive disaster risk and recovery programmes at regional, national and local levels and improve interagency coordination

This output will require carrying out the following activities: production of a " radionovela" on DRR and ER to be used as a learning tool at national and regional level; organization of a PDNA training Workshop to strengthen capacities of REDLAC members.

III. MANAGEMENT ARRANGEMENTS

The Initiation Plan will be directly executed and implemented by the LAC Regional Centre. Initiation Plan supervision will be done by the Regional Practice Leader with the technical assistance and advice of the Practice Area XYZ Management experts. In addition, the Initiation Plan will work with a network of consultants, NGOs, centres of excellence, and its extended community of practice to attain its objectives.

1. Regional Program Thematic Advisory Panel

A Regional Program Thematic Advisory Panel for Crisis Prevention and Recovery will provide overall strategic guidance and advice to implementation of this Initiation Plan within the Regional Program for Latin America and the Caribbean. The Thematic Advisory Panel will be convened and chaired by the Director of the Regional Centre LAC with the support of the Regional Practice Team Leader.

The Panel will i) provide advice on how to best address ongoing regional priorities within the CPR thematic area; ii) discuss the cluster projects implementation outcomes and outputs, and provide feedback and technical advice on the activities and projects carried out by the practice team; and iii) review the Cluster work plan for the following year.

The Thematic Advisory Panel for Crisis Prevention and Recovery will consist of:

- Two recognized regional experts (from research institutes, policy institutes, academia or think tanks or civil society),
- Two Government officials (one from the UNDP Executive Board¹, complemented by other Government representatives, ensuring sub-regional geographical coverage);
- Two Resident Representatives, ensuring sub-regional coverage;
- The Practice Unit Directors of Bureau X.

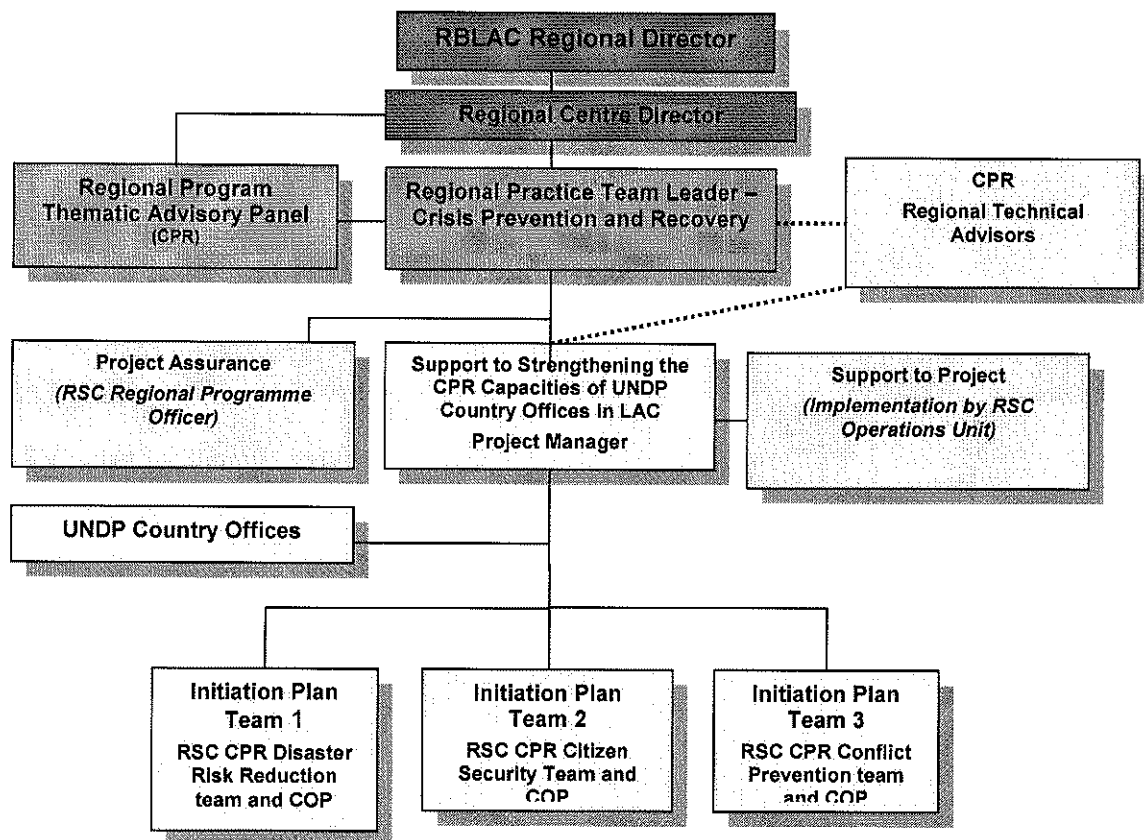
¹ UNDP Executive Board LAC membership: Antigua & Barbuda (2009), Colombia (2010), Haiti (2010), Cuba (2001), Mexico (2011)

The Panel will provide strategic advice and technical inputs, where practical, to the Practice Team Leader and Project Manager.

The Regional Program Thematic Advisory Panel for Crisis Prevention and Recovery will meet during the first trimester of each year, beginning in 2010 at a venue determined by the Director of the Regional Center – LAC. The meeting will not last longer than one day. In 2010 the Panel will be organized in (May 2010) and will hold its first meeting, in which it will review the overall Cluster Work Plan for 2010. As well, the Panel will review and approve, if feasible, the 2010 Work Plan for the present Initiation Plan.

The Thematic Advisory Panel will be responsible for recommending management decisions, when requested by the Practice Team Leader, including approval of annual work plans and substantive revisions to the Initiation Plan. Final decisions will be the responsibility of the Regional Center Director.

The following organigram shows the organizational structure for the current Initiation Plan and the relation of the Regional Program Thematic Advisory Panel for Crisis Prevention and Recovery to the structure itself.



2. Organizational structure for Initiation Plan execution and implementation

The Director of the Regional Bureau for Latin America and the Caribbean or his/her delegate will request the Associate Administrator that the execution of this Initiation Plan be carried out under the Direct Execution or DEX modality. He/she will approve and sign the Initiation Plan document and its substantive revisions. He/she will approve the allotment of TRAC regional resources and approve and sign all Cost Sharing Agreements with donors, when necessary.

The Director of the RSC – LAC will preside over the Regional Program Thematic Advisory Panel for **Crisis Prevention and Recovery** as much for activities of the Practice as for those of this Regional Initiation Plan. He will assign execution functions to the CPR Practice Area and the functions of implementation to the Operations Unit of the RSC - LAC. Initiation Plan approval and its revisions in ATLAS, after approval by the Bureau Director, will be carried out by the person delegated by the Director of the RSC - LAC who will have the authority to fulfill this function.

The Crisis Prevention and Recovery Regional Practice Area of the RSC - LAC will be responsible for production of Initiation Plan outputs, as planned.

The Regional Practice Team Leader of Crisis Prevention and Recovery will supervise technical, logistical and administrative processes for the Initiation Plan. In this regard, he will supervise the Project Manager, review and comment on annual work plans and quarterly, annual and final reports. He will analyze and comment on all substantive and budgetary revisions before sending for approval. He will review and approve technical reports and Initiation Plan outputs. He will, as well, coordinate the operational and financial closure of the Initiation Plan.

The Regional Advisory Group for Crisis Prevention and Recovery will be responsible for technical assistance to the Regional Practice Team Leader, the Project Manager and the Initiation Plan team, as needed.

The UNDP Country Offices will be charged with defining the national counterparts for the Initiation Plan, as well as support the identification of needs regarding **ABC (project issue name)** that can support the present Initiation Plan in their countries. They will carry out the contracting of personnel and acquisition of goods and services, when needed and at the request of the Operation Unit Coordinator of the RSC – LAC. At the same time, they will support the Initiation Plan by fulfilling project cycle management in ATLAS for checks and bank transfers when this service is requested.

The Project Manager functions will be performed by the Regional Advisor for Citizen Security, , who will be responsible for directing all technical, logistical and administrative processes with the aim of carrying out the activities planned to achieve the Initiation Plan outputs. In this regard, he will coordinate the formulation of Terms of Reference for people and/or commercial enterprises to be contracted by the Initiation Plan as well as the technical specifications for the goods to be acquired. On the other hand, he will be responsible for formulation of annual work plans which will be reviewed by the Project Assurance officer and the Regional Practice Team Leader and forwarded to the Thematic Advisory Panel for approval. He will be responsible for formulation of quarterly, annual and final progress reports, for substantive and budgetary Initiation Plan revisions, when needed, and, with access to ATLAS, for approval of requisitions needed to cover input requirements for the Initiation Plan, all of which will be forwarded to the Project Assurance officer. At the end of the Initiation Plan he will prepare a proposal for the transfer of goods acquired with Initiation Plan resources. The quarterly, annual and final reports, as well as Initiation Plan revisions and the proposal for transfer, will be sent to the Project Assurance Officer and through her to the Regional Practice Team Leader. At the same time, he will participate in the Selection Committees and/or Panels for the people to be contracted and for the businesses and institutions providing goods and services, as needed. The Project Manager will supervise those people contracted with Initiation Plan resources and will evaluate their performance. He will review and comment on the technical reports by consultants and companies or institutions and will send them to the Project Assurance officer, who will then forward them to the Practice Team Leader. In regard to the acquisition of goods, he will ensure that they stipulated technical specifications are complied with and used for the objective they were acquired for. He will review Requests for Direct Payment in processing payment to goods and services providers. The Project Manager will report directly to the Regional Practice Team Leader.

The Project Assurance Officer functions will be performed by the RSC LAC Regional Programme Officer designated by the Director of the RSC – LAC from the Regional Center team of Regional or Program Officers. The Project Assurance officer will be responsible for following and monitoring the Initiation Plan management, in particular she will undertake on-site monitoring visits, in specific cases to participating countries, will review and comment on annual work plans,

progress reports, substantive and budget revisions, and on the proposal for transfer of equipment at the end of the Initiation Plan. As well, she will be responsible for inputting baseline information to ATLAS for Initiation Plan monitoring and for bringing Initiation Plan information up to date at least once every three months, at a minimum, on receipt of the quarterly progress reports. After reviewing and commenting on the annual progress report and the follow-on annual work plan, she will forward these to the members of the Panel through the Regional Practice Team Leader. The Project Assurance officer will report directly the chief of her respective unit.

The Operations and Project Implementation Unit of RSC – LAC will be responsible for carrying out the implementation of the Initiation Plan, that is to say, contracting of people and acquisition of goods, materials and services required in the framework of the current Initiation Plan, and will be responsible for approving disbursements of the Initiation Plan.

Project Team: The Initiation Plan will comprise a team of technical advisors in the area of Citizen Security, Conflict Prevention and Disaster Risk Reduction as well as associated experts selected from the RSC LAC Expert Rosters who will carry out activities foreseen in the annual work plan. Additional personnel may be contracted for short-term logistical, administrative and financial management support. The project team and the Project Manager will receive technical assistance, when needed, from the Regional Advisory Group for XYZ.

3. Resource Mobilization

The Regional CPR Practice Area of the RSC – LAC in cooperation with the UNDP Country Offices, will carry out the necessary activities to mobilize more financial resources and to broaden the Initiation Plan's scope in regard to projected outputs and countries receiving technical assistance in the area of conflict prevention, disaster risk reduction and citizen security. The total volumes of resources mobilized will include amounts for the payment of General Management Services (GMS) of UNDP and the Implementation Support Services (ISS) provided by the RSC – LAC to the Initiation Plan.

4. Cost Recovery

Total budgeted resources for the Initiation Plan are US\$ **287,600**, which come from regional TRAC in their entirety, therefore GMS does not apply.

For Implementation Support Services (ISS) applicable to the direct costs of the Initiation Plan, the RSC – LAC will receive **USD 14, 380**, which is the equivalent of 5% of the total of the resources disbursed from the budgeted US\$ **287,600** (Regional TRAC).

IV. MONITORING

In accordance with the UNDP Programme and Operation Policies and Procedures, (POPP) the Initiation Plan will be monitored through the following:

Within the Initiation Plan period

- On a quarterly basis (April – June, July - September, and October – November), a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the Initiation Plan implementation.

- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the Initiation Plan.
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.
- A Final Progress Report should be prepared at the end of the Initiation Plan, shall be submitted by the Project Manager to the Thematic Panel through Project Assurance, using the standard report format available in the Executive Snapshot.

Proper monitoring will be ensured through the following activities (which are applicable to plan initiation), of which the corresponding ATLAS report is mentioned between brackets:

- Annual Review (Annual Review).
- Annual Report (Annual RPT – PIR).
- Audit (Audit).
- Final Evaluation (Final Eval).
- Mid Term Evaluation (Mid Term Eval).
- Annual Work Plan (Workplan).
- Others (X_Other).

Quality Management for Project Activity Results:

Replicate the table for each activity result of the AWP to provide information on monitoring actions based on quality criteria.

00074577 OUTPUT 1: LAC COs receive technical assistance to support national and local institutions to prevent and manage conflicts; facilitate inclusive and participatory dialogue processes; build and strengthen knowledge, expertise and partnership on Conflict Prevention and democratic dialogue.		
Activity01	<i>Technical Capacities of the CO</i>	Start Date: 15.04.10 End Date: 15.11.10
Purpose	<i>The purpose of this activity is to provide high quality technical advice on Conflict Prevention to UNDP Country Offices</i>	
Description	<i>Technical advisory support provided by the CP Advisor, missions, desk-top work</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Evaluation requests after missions requested by CO's	Service tracker entries BTORs	After each mission
Feedback from CO's	Correspondence, notes from meetings	Quarterly
Annual Review	Annual Review Report	Upon completion of IP
00074577 OUTPUT 1: LAC COs receive technical assistance to support national and local institutions to prevent and manage conflicts; facilitate inclusive and participatory dialogue processes; build and strengthen knowledge, expertise and partnership on Conflict Prevention and democratic dialogue.		
Activity02	<i>Inclus & Particip Dialog</i>	Start Date: 15.04.10

		End Date: 15.11.04
Purpose	<i>The purpose of this activity is to support inclusive and participatory dialogue processes in LAC countries.</i>	
Description	<i>Bi-national dialogues in countries with political tension (2 cases) National and local consultative processes in at least 3 countries</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Feedback from beneficiaries and CO's	Meeting notes, correspondence, Interviews and surveys Meeting reports agreements	Quarterly
Annual Review	Annual Review Report	Upon completion of IP
00074577 OUTPUT 1: LAC COs receive technical assistance to support national and local institutions to prevent and manage conflicts; facilitate inclusive and participatory dialogue processes; build and strengthen knowledge, expertise and partnership on Conflict Prevention and democratic dialogue.		
Activity03	<i>Pool of Tech expertise & KM</i>	Start Date: 15.04.10 End Date: 15.06.10
Purpose	<i>The purpose of this activity is to consolidate the pool of technical expertise and knowledge on Conflict Prevention in LAC Region</i>	
Description	<i>Establish a Conflict Prevention Community of Practice and organize the first meeting of Community of Practice on Conflict Prevention in the region; Set up the roster of experts on Conflict Prevention.</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Established Roster of experts	Candidates for Roster selected LTA's with experts signed	Quarterly
Results of the COP meeting Satisfaction of participants	COP Meeting Report Evaluation	July 2010
Annual Review	Annual Review Report	Upon completion of IP
00074578 OUTPUT 2: LAC COs receive technical assistance to support national and local institutions to address citizen security issues and to contribute to the improvement of the gender dimension in the citizen security in the region.		
Activity01	<i>COs supported by Reg on</i>	Start Date:15.04.10 End Date: 15.11.10
Purpose	<i>The purpose of this activity is to support COs by the Regional Citizen Security team</i>	
Description	<i>Organize Citizen Security regional practice workshop to offer consultation space for COs</i>	

Conduct consultations on Citizen security issues jointly with PAPEP in 2 countries		
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Results of the COP meeting Satisfaction of participants	COP Meeting Report Evaluation	July 2010
Annual Review	Annual Review Report	Upon completion of IP
00074578 OUTPUT 2: LAC COs receive technical assistance to support national and local institutions to address citizen security issues and to contribute to the improvement of the gender dimension in the citizen security in the region.		
Activity 02	<i>Gender Dim of Citiz Sec</i>	Start Date: 15.04.10 End Date: 15.11.10
Purpose	<i>The purpose of this action is to conduct discussions on Gender dimension of citizen security with the COs</i>	
Description	<i>Support the implementation of the SG campaign on gender based violence and analyze the UNDP comparative advantage</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Campaign results	Workshop report Evaluation results Guidelines for UNDP Actions Roster of Gender and Security experts Firmed MoU's or agreements	Julio 2010
Annual Review	Annual Review Report	Upon completion of IP
00074579 OUTPUT 3: LAC COs receive technical assistance to support gender sensitive disaster risk and recovery programmes at regional, national and local levels and improve interagency coordination		
Activity 01		Start Date:15.04.10 End Date: 15.04.10
Purpose	<i>The purpose of this activity is to strengthen regional, Inter-cluster and Interagency coordination networks to support UNDP COs</i>	
Description	<i>Organize a Workshop on PDNA to strengthen capacities of REDLAC members</i> <i>Produce a " radionovela" on DRR and ER to be used as a learning tool at national and regional level</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>

Satisfaction of the participants	Workshop report, Evaluation	September 2010
Satisfaction of the audience	Survey of the audience, ratings	November 2010
Annual Review	Annual Review Report	Upon completion of IP
00074579 OUTPUT 3: LAC COs receive technical assistance to support gender sensitive disaster risk and recovery programmes at regional, national and local levels and improve interagency coordination		
Activity 02	<i>Joint 2010 WP ISDR-OCHA-UNDP</i>	Start Date:15.04.10 End Date: 15.11.10
Purpose	<i>The purpose of this activity is to Formulate a Joint 2010 workplan between ISDR-OCHA-UNDP</i>	
Description	<i>Conduct consultative meetings and missions</i>	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification: what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Acceptance by the parties	Joint workplan approved by ISDR-OCHA-UNDP	July 2010
Annual Review	Annual Review Report	Upon completion of IP