



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

Country: Sao Tome & Principe

Relevant UNDAF Outcome(s) and Indicator(s):
By 2016, the government and districts, as well as local populations adopt techniques and behaviors conducive to a sustainable environment and ensure better prevention and management of risks and natural disasters.

Relevant CP/CPAP Outcome(s) and Indicator (s):
Environmental and disaster prevention and mitigation concerns mainstreamed into national and local Development policies and strategies

Expected Project Outcome (s) and Indicator (s):
UNDP Project Document and accompanying GEF CEO Approval documentation prepared within the established deadline and successfully submitted to the GEF.

Project Output(s) and Indicator(s):
*1-Defining Project Scope
 2. Institutional Arrangement, M&E
 3. Stakeholder consultation and engagement
 4. Financial planning and co-financing definition*

Programme Period: 2012-2016
Programme Component: Environment and sustainable development-
 Mainstreaming environment and energy
PPG Title: Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata)
ATLAS Project ID: 00086271
ATLAS Award ID: 00073481
PIMS : 4645
Duration: 12 months
Management Arrangement: DIM

Total budget:	150, 000
Allocated resources:	150,000
• GEF	75,000
• UNDP (In kind)	75, 000

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

Jose Xavier Salema, RR

Signature

Date: 15th May 2013

Section 1: Brief Description of Initiation Plan

This project titled “*Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)*” aims to strengthen the resilience of rural community livelihood options against climate change impacts in the Sao Tome & Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL). For this purpose, it seeks to : i) enhance the capacity of the CATAP, CIAT, district governments and assemblies, district councils, CSOs and CBOs to support the strengthening of climate resilience of rural community livelihoods; ii) reduce vulnerability of rural livelihoods to climate risks through climate risks management infrastructures and mechanisms; iii) design and transfer adaptation strategies to strengthen communities climate resilience in the 30 most vulnerable villages of the 6 districts of CMPLCL of Sao Tome and Principe

This project is centered on a common goal of achieving sustainable development through improved environmental management and communities’ natural assets conservation and based on strengthening STP’s communities resilience to climate risks, one of the key priorities outlined in the National Adaptation Programme of Action (NAPA) completed by STP in 2006.

In order to reach the stage of UNDP Project Document completion and CEO endorsement, the project development includes a preparatory phase, which foresees the collection of information and gathering of useful data for project design, the validation of the indicative outcomes and outputs contained in the PIF, the development of a full M&E plan including appropriate indicators and baseline, a participatory plan to involve communities as well as the identification of implementing partners and negotiation pertaining to implementation arrangements and co-financing.

Financed by GEF through a ‘Project Preparation Grant’ (PPG), this Project Initiation Document (PID) operationalizes PPG implementation, whose main goal is to produce a LDCF eligible UNDP project document for this project accompanied by a Request of CEO Endorsement document making direct reference to it – both using the appropriate templates.

A team of consultants both international and national will be contracted to produce the UNDP project document and request for CEO endorsement. Given the deadline of 18 months, and considering possible delays in approval and/or the need for inclusion in a Work Plan, the request for GEF CEO Approval and the PRODOC need to be finalized and cleared for submission no later than November 2013.

UNDP Country Office in Sao Tome will lead the project using the Direct Implementation Modality (DIM). The PPG Atlas budget is presented in Section III “Total Budget and Work Plan”. UNDP Country Office in Sao Tome, supported by a Climate Change Adaptation Regional Technical Adviser, based in Pretoria, will be responsible for the selection and recruitment of PPG consultants (local and international), arranging travel and meetings, maintaining project disbursements and regular financial reporting to UNDP.

On behalf of the government and in close collaboration with key government officials, donors, NGOs, CBOs and the private sector, this PID will allow the UNDP Country Office to recruit one (1) international consultants and three (3) national consultants for carrying out PPG activities, as outlined in the table below:

Table 1. Overview of consultants to be contracted under this PPG*

Position Titles	Estimated number of weeks of service	Total in months
National consultants	20.0	5.0
Climate change adaptation expert	8.0	2.0
Rural livelihoods risks Management Expert	8.0	2.0
Stakeholders engagement specialist	4.0	1.0
International consultants	10.0	2.5
GEF/LDCF Climate Change Adaptation Specialist	10.0	2.5

* Refer to PPG document for more detail.

Under the operational leadership of the national ‘Climate Change Adaptation Expert’, and technical leadership from the international “GEF/LDCF Climate Change Adaptation Specialist”, the team of consultants is expected to produce in a timely manner and in full compliance with the now tighter deadlines a UNDP-GEF Project Document and a CEO Endorsement document (using the appropriate templates). This will be done through a balanced combination of consultations and studies as thoroughly described in the PPG. Technical guidance and support pertaining of the GEF modality (project scoping and budgeting, best practices, knowledge management, partnerships etc.) will be provided by the UNDP-GEF Regional Technical Advisor(s) overseeing the project as well as by the UNDP Office in Sao Tome, which will in addition provide operational support for a fast and effective PPG implementation.

Proposed PPG milestones

Start date of PPG	May-2013
Completion date of PPG	November-2013

Section 2 : PPG Approval Documents



Naoko Ishii PhD
Chief Executive Officer and Chairperson

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March 22, 2013

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

Dear Ms. Dinu:

I am pleased to inform you that the following submission is cleared for inclusion in the work program with the PPG approved and will be funded by the Least Developed Countries Fund:

Approval Stage:	PIF Clearance and PPG Approval
GEFSEC (PMIS) ID:	5184
Agency ID:	4645 (UNDP)
Agency(ies):	UNDP
Project Type:	Full Size Project
Country(ies):	Sao Tome and Principe
Name of Project:	Enhancing Capacities of Rural Communities to Pursue Climate Resilient Livelihood Options in the Sao Tome and Principe Districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)
Indicative GEF Grant:	\$4,000,000
Indicative Agency Fee:	\$380,000
PPG Grant:	\$75,000
PPG Agency Fee:	\$7,125

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached 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.

It is our expectation that your Agency will submit a final project document in a timely manner, so that it is endorsed by the CEO no later than 18 months after council approval of the PIF.

Template effective 02 October 2008

Kindly inform the Secretariat as soon as possible if this timeline cannot be met so the Secretariat can either revise milestones or cancel the project, in consultation with the beneficiary country and your agency.

Attached is a copy of the review sheet for your records . . .

Sincerely,



Naoko Ishii
CEO and Chairperson
Global Environment Facility

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



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: LDCF

Submission date: October 12, 2012

GEF PROJECT ID:

GEF AGENCY PROJECT ID: 4645

COUNTRY (IES): Sao Tome & Principe

PROJECT TITLE: Enhancing capacities of rural communities in the districts to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)

GEF AGENCY: UNDP

GEF FOCAL AREA(s): Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	May 2013
Completion date of PPG	November 2013

B. PROPOSED PROJECT PREPARATION ACTIVITIES

COMPONENT 1: Defining project scope

1. Project formulation will be based on guidance provided by UNDP's toolkit for the design of adaptation initiatives (2010). This approach will ensure that the design of this agricultural adaption project is not undertaken in isolation, but contributes to ongoing activities executed by the Government of STP and other donors already actively engaged in the development and the management of small scale farming in STP.

(a) Definition of project baseline

2. A detailed review, including stakeholder consultations, will be undertaken of initiatives that are taking place or planned in different communities in the identified vulnerable rural areas of the 6 districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL) that are of relevance to the proposed outcomes. The baseline analysis will include a review of ongoing and planned Government financed and donor financed (including UNDP) projects, national and sub-national policies, laws, executive regulations and decrees relevant to rural development, agriculture and other key economic activities in STP's rural areas as well as clarify baseline (non-climate driven) development issues pertaining to agriculture sector development and management.

This exercise will lead to a comprehensive description of the operational connections between the LDCF project and on-going initiatives and also support the development of the co-financing plan the component 4 will produce.

(b) Identification of current and projected climate change risks for the STP rural communities livelihoods

3. PPG resources will be used to undertake a rigorous and detailed review of the scientific literature (including the NAPA and Initial National Communication documents) on climate change risks for the STP rural communities livelihoods and the impacts on social, economic and natural systems, for the purpose of justifying the selection of vulnerable areas that will benefit from LDCF resources. The NAPA has already identified the most vulnerable rural communities to climate change. A detailed technical assessment of the location specific risks facing communities who will ultimately benefit from the LDCF financed interventions will be undertaken. The assessment will carry out an in-depth problem (root-cause) analysis of vulnerability and will identify what the likely impacts are, where they are likely to occur, on what scale and the timing of expected impacts. It will include a robust and scientific-based explanation of how climate change and variability will affect rural communities livelihoods and an estimation of the costs of these impacts. The review will take stock of the range of climate and socio-economic scenarios on which these impacts are projected to unfold and affect communities. PPG funds will not be used to duplicate work already completed through the INC and NAPA processes.

The findings of this risks analysis will guide the identification and confirmation of the adaptation responses that LDCF resources will finance, additionality, and will inform the detailed outputs that the project will deliver (see section (d) below).

4. PPG resources will also be used to estimate the likely costs and benefits of proposed project interventions (including probability of success) to mitigate identified climate change risks.

5. Stakeholder consultations, and validation with relevant governmental and non-governmental agencies, as well as other bilateral donors, will supplement the findings of the climate change risk review and inform the technical feasibility and needs assessment for the proposed project.

(c) Identification of the sites for intervention and adaptation options

6. Based on the information in (a) and (b) and clearly defined criteria (including the level of vulnerability, the potential environmental, economic and social risks of interventions, the economic role in the region, the potential of leveraging effect), a participatory based approach will be used to select high priority communities and areas that this project will focus on. The identification of the sites will include community-level consultations to ensure full community level engagement in the design and implementation of the project, that LDCF resources respond to community level priorities and needs on climate change adaptation. All efforts will be made to ensure gender representative views to inform the project design. Also, environment and social screening procedures will be applied to identify and manage environmental and social risks that could be associated to the different adaptation options.

(d) Clarifying Additionality of Proposed Outcomes and Interventions

7. The additionality of the proposed project will be clarified in the context of the proposed outcomes and outputs. Comprehensive explanations will be provided on how LDCF funding will be directed towards the additional cost of ensuring that baseline activities are transformed into one that incorporates climate change concerns (i.e. the adaptation scenario). Towards this end, stakeholder consultations, will be undertaken to assess the current range of resilience-enhancing and/or mal-adaptive activities that are taking place in different communities in the identified vulnerable areas that are of relevance to the proposed outcomes. This assessment will clarify a) where additional "climate-proofing" components are required to increase the resilience of activities proposed under existing development planning, and b) which areas have the greatest potential for technical enhancement and modification to effectively provide added value in increasing resilience to climate risks. Based on the results of the baseline analysis, the climate risks assessment and economic analysis of the baseline and proposed project funded interventions, the additionality of the proposed interventions (with respect to address climate change pressures on

agricultural communities) will be assessed and confirmed. The details on the baseline and additional activities will contribute towards clarifying how the baseline situation will be amended through the proposed project in order that risks associated with climate change, including variability are addressed.

8. This review will take into account who is doing what, at which scale and in which district. This information will ensure that the LDCF project can be designed to build on ongoing and planned activities. This inventory, together with the main findings of the climate risks assessment and economic analysis (see section a), will contribute towards explicitly confirming and describing the most urgent and appropriate adaptation responses, which qualify under the additionality criterion. PPG resources will then be utilized to assess the technical feasibility of the identified project interventions, using cost/benefits analysis and robust feasibility criteria (e.g. likelihood of success, alignment with local capacities, scalability, etc.).

9. The review and stakeholder consultations will also facilitate discussions with other local and international institutions who may be pursuing similar objectives/outcomes and identify important partnerships including co-financing opportunities. It will also facilitate discussions with other agencies such as AfDB, IFAD, WB, the EU, FAO, bilateral cooperations and others on potential partnerships whereby the comparative advantage of these agencies can be brought to bear on the design and implementation of this project.

(e) Identification of the main entry points for the integration of the project with national development plans, policies and complementary projects

10. The project is designed to integrate climate change concerns and adaptation options into the key development policies and plans affecting the agricultural sector : Millennium Development Goals (MDGs), the national Poverty Reduction Strategy (NPRS), Agricultural Policy and Rural Development Charter (APRDC), the Strategy for the Gender Equality and Equity, the Strategy for Education and Training, the National Action Plan for the Education for All, the national and regional agriculture sector development plans, relevant national agriculture, livestock and forestry development plans and policies and also be aligned with core UNDP activities in STP. For this purpose, a review of the above cited relevant national documents, as well as the Disaster Risk Reduction and Climate Change Adaptation Programme for the STP, UNDAF, and CPAP will be undertaken with a view to identifying specific entry points and detailed outputs that will ensure that this LDCF financed project is value added to STP. The review will be done with a view to understanding and then reflecting in the project design the structural environment for advancing climate change adaptation in STP agriculture sector that this LDCF project seeks to achieve. The review will focus on strengths and weaknesses and gaps of the existing system (as well as proposed interventions) to overcome anticipated impacts on agricultural communities as well as the identification of constraints to the integration of climate changes in agriculture sector development activities and the implementation and the sustainability of agricultural protection measures. The information collected in this exercise will contribute to a detailed root-cause analysis of climatic and non-climatic drivers that exacerbate communities' vulnerability in times of growing uncertainty and environmental change. This analysis will be the basis for the definition of tangible demonstration activities proposed under the full-sized project.

COMPONENT 2: Institutional arrangements, Monitoring and Evaluation

11. The outputs of Component 1 will be used as technical input for the formulation of a UNDP Project Document for the proposed project. In order to finalize the project document, the following activities will need to be completed.

(a) Finalization of a strategic result framework and definition of monitoring and evaluation provisions

12. PPG resources will be utilized to outline a detailed logical framework with elaboration of the project objective, outcomes, and outputs (including related activities) and a fully developed work plan, and budget for the implementation phase. Qualitative and quantitative SMART indicators (including baseline measurements) at the project objective and outcome level will be determined. A Monitoring and Evaluation strategy will be defined including clear identification of responsibilities and institutions, as well as an appropriate budget allocation (based on best practices and UNDP guidelines). This will also reflect the requirements of the Implementing Agency vis-à-vis its standard reporting and evaluation mechanisms. The Monitoring Plan will make reference to the above described qualitative and quantitative indicators that will measure the state of adaptive capacity at various stages of project implementation. Provisions for independent evaluation and provisions to ensure learning of lessons from implementation will be included.

(b) Definition of roles and responsibilities of Implementing Partner and Responsible Parties

13. A detailed delivery strategy, with clearly identified roles and responsibilities of specific institutions for the overall implementation of the project will be specified. An in-depth analysis will be undertaken on the capacity of the Implementing Partner and Responsible Parties including IGEBU (Geographic Institute of STP), Office of the 2nd Vice President; Ministry of Commerce, Industry, the Post and Tourism, Ministry of Agriculture; CAPAD (Confederation of Agricultural Producer Associations for Development); Agri-Business Sector Chamber of Commerce; STP Coffee Growers Confederation “CNAC-MURIMA W’ISANGI” and the other institutions that are identified during the design phase as having an important role in the implementation of the project. Details on reporting requirements for technical activities, including requisite reporting procedures will be established. UNDP guidelines, as articulated in the Results Based Management (RBM) framework will be followed in formulating these details.

(c) Exit Strategy (Sustainability)

14. A detailed sustainability strategy will be defined in order to ensure replication of project benefits beyond the lifetime of the project. The PPG phase will focus on tangible milestones and agreements within the project cycle to ensure propagation of additional investment decisions for the replication of project benefits.

COMPONENT 3: Engagement with key stakeholders

15. PPG resources will be utilized to engage key stakeholders at the national/District and community level during the project design phase. In alignment with the approved project objective, comprehensive stakeholder consultations will be conducted to determine stakeholder needs vis-à-vis adapting to climate change impacts in the context of the project, barriers that need to be overcome, and expertise that might be helpful in supporting communities during the implementation phase of the project. The following activities will be undertaken:

(a) Mobilize and engage stakeholders who will benefit from the project interventions

16. Identifying key stakeholders who need to be consulted during the design phase. Gender representative stakeholders will be identified, consulted and documented during the design phase.

17. Participatory based development of a detailed delivery work-plan including approval and endorsement by key stakeholders.

18. The successful completion of the preparatory phase will require the participation of a number of key stakeholders. Partnership will be established with:

- Public, private and international institutions that monitor and produce information related to climate change and agriculture sector development and management. A mechanism for sharing information on agriculture sector management systems that effectively integrate CC risk management techniques and strengthening technical capacities of communities and relevant institutions will be designed during the preparatory phase;
- National agencies coordinated by the Ministry of Agriculture (and extension services, NGOs, international technical cooperation institutions, CBOs, and local communities, will be consulted in order to establish an effective framework for the proposed project. Consultations with these groups will be fully documented; and
- A plan for project management and stakeholders involvement during the implementation phase of the project will be discussed and finalized during the preparatory phase. In this regard, a group of stakeholders not directly involved in the project including NGOs, Civil Society Organizations, CBOs, research (CIAT), training and academic institutes (CATAP), and regional institutions/organizations will be among the project partners.

(b) Definition and extension of partnerships

19. The PPG phase will include identification and finalization of partnership requirements for support and co-funding at various levels (including government, NGO, relevant research and technical institutes, and bilateral partnership arrangements). These partnerships will be explored and outlined in the project document. Involvement of the media will be clarified and summarized under a defined communication strategy aimed at performing policy advocacy and dissemination of lessons learned.

(c) Community Mobilization

20. A detailed work plan based on a participatory stakeholder approach will be developed to mobilize local communities in implementing relevant components of the project. This may include community participation in tracking the delivery of specific project outcomes.

COMPONENT 4: Develop a financial plan and co-funding scheme

a) Facilitation and support of Government negotiations and consultations on project-related issues

21. PPG resources will be used to finance the cost of facilitating and supporting the Government of STP to reach agreement on project objective, outcomes, outputs and indicators and finalize government contributions and partnerships for support and co-funding of the envisaged project results.

(b) Exploration of Multilateral and Bilateral co-funding opportunities

22. PPG resources will be used to finance the cost of partnership development and the pursuit of co-financing opportunities at various levels with bilateral and multi-lateral funding institutions. The PPG will enable networking at the global and national level in order to ensure a coherent and sustainable financing approach with perspectives beyond the project lifetime.

(c) Preparation of official endorsement letters and guarantees

23. An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government of STP. A co-financing guarantees will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who provide in cash or in kind contributions to this project.

24. Collecting information for the preparation of the AMAT framework.

List of proposed project preparation activities	Output of the PPG activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c= a+b
1. Defining project scope	<p>1.1. Project goal, objective, outcomes, outputs and activities finalized</p> <p>1.2. Additionality of Proposed Interventions clearly defined</p> <p>1.3. Project intervention areas identified and described</p> <p>1.4. Gender sensitive agriculture adaptation measures to be financed by the LDCF identified and technically specified and their cost-effectiveness vis-a-vis to alternatives approaches demonstrated</p> <p>1.5. The operational connections between the LDCF project and on-going initiatives comprehensively described</p> <p>1.6 Environment and social screening of agricultural adaptation options completed</p>	LDCF	30,000	20,000	50,000
2. Institutional arrangements, monitoring and evaluation	<p>2.1. Project management, the roles and responsibilities of implementing partners and reporting arrangements defined</p> <p>2.2. Gender and social vulnerability sensitive workplan with detailed roles, responsibilities and timeline for project implementation developed</p> <p>2.3. Strategic results framework and M&E system defined with quantifiable and verifiable impact indicators.</p> <p>2.4 A sustainability strategy to ensure project benefits replication beyond the project life elaborated</p>	LDCF	15,000	20,000	35,000
3. Stakeholder engagement	3.1. Stakeholder involvement plan with focus on community level beneficiaries produced	LDCF	25,000	15,000	40,000

	3.2. Detailed list of all stakeholder consultations during PPG elaborated				
4. Financial planning and co-financing definition	4.1. A co-financing plan developed and approved by the co-financers 4.2. Endorsement letters and letters confirming co-financing commitments obtained	LDCF	5,000	10,000	15,000
5. PPG closure	5.1. List of all PPG activities including financial reconciliation elaborated 5.2. UNDP-GEF compliant full-sized project document including AMAT framework finalized and submitted to the LDCF.		0	10,000	10,000
			75,000	75,000	150,000

D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)


	Project Preparation	Agency Fee
GEF financing	75,000	7,125
Co-financing *	75,000	
Total	150,000	7,125

E. PPG BUDGET

Cost Items	Total Estimated Person weeks (pw)**	LDCF	Co-financing (\$)	Total (\$)
Local consultants *	20	20,000	0	20,000
International consultants*	10	30,000	0	30,000
Travel		10,000	15,000	25,000
Technical workshops, Consultation fora		15,000	30,000	45,000
Communication, Translations		0	15,000	15,000
Miscellaneous		0	15,000	15,000
Total PPG Budget		75,000	75,000	150,000

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec Executive Coordinator, UNDP/GEF		October 12, 2012	Henry Rene Diouf UNDP/GEF Regional Technical Advisor (Gr- LECRDS)	+27 83 442 9989	henry.rene.diouf@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ person week	Estimated PWs	Key Tasks to be performed
Local	Climate change adaptation expert	1000	8	<ul style="list-style-type: none"> - Based on a review of existing regional models, and stakeholder consultations, identify a range of climate change scenarios with particular reference to the rural sector, for the project to take into account in its design, - Support the identification of the underlying problem analysis (root-causes, preferred solution, barriers, and project specific interventions ; - Identify and outline gaps in baseline projects in terms of current and planned investments that the proposed project will build on; - Support the design of the adaptation measures and prepare pre-feasibility studies and costs-benefits analysis for adaptation measures to be supported by the project - Support the development of the adaptation trainings programmes for the -Identification of the technical, financial, regulatory and other constraints for the adoption by the communities of the strategies for livelihoods enhancement and diversification and make recommendations to address these constraints - Assist in clarifying additionality of proposed outcomes and activities - Identify and validate relevant national and regional development plans that need to integrate climate risks and the means to do so. - Validate adaptation options and measures based on the scope outlined in the PIF through a series of stakeholder consultations - Refine system boundaries and project's scope based on input from stakeholder consultations; - Identify specific sites for interventions through this project based on stakeholder input and the results of the vulnerability analysis; - Identify key elements of a monitoring programme that will be put in place by the LDCE project - Based on stakeholder input, suggest options for specific roles and responsibilities and suitable institutional/ implementation arrangements for the implementation phase of the project;.
Local	Rural livelihoods risks Management Expert	1000	8	<ul style="list-style-type: none"> - Collect baseline information about the socio-economic situation in the rural sector - Undertake vulnerability and climate risks

Type of Consultant	Position / Titles	\$/ person week	Estimated PWs	Key Tasks to be performed
				<p>assessments (VRA) that are pertinent to inform the project design and identify the socio economic potential impacts of climate change</p> <ul style="list-style-type: none"> - Estimate the cost of climate change impacts on rural communities livelihoods in absence of adaptation -Based on the VRA and the assessment of potential socioeconomic costs of climate change in communities, propose sites for project intervention that is of relevance to the scope of the proposed project - Assess current coping strategies and propose solutions for effectiveness and sustainability; - Support vulnerable communities to identify strategies for coping with climate change and variability and priority adaptation needs - Identify required additional investments for climate resilient livelihoods that the LDCF project could finance -Identify key element of the climate risk management capacity development programme that will be rolled out during the implementation phase of the project - Support the climate change adaptation local and international experts to design adaptation measures and prepare pre-feasibility studies and costs-benefits analysis - Review and analyze existing policies and regulatory and institutional frameworks for the agricultural sector, including adaptation incentives and disincentives, barriers, etc... - Conduct institutional and individual capacity gaps and needs analysis; - Design the project's policy, institutional and capacity development strategy and action plan; - Propose suitable institutional/ implementation arrangements; - Help build financing partnerships and mobilize co-financing resources;
Local	Stakeholders engagement specialist	1000	4	<ul style="list-style-type: none"> -Help coordinate all PPG activities and ensure the quality of outputs based on UNDP-GEF standards - Support negotiations and consultations with potential partners including coordinating consultations with government and non-government agencies, local project stakeholders and potential project partners; - Help to organize and facilitate a series of stakeholder meetings; - Help build partnerships and mobilize resources.
International	GEF/LDCF	3000	10	<ul style="list-style-type: none"> -Lead the consultants' team and help scope PPG activities and work plan;

Type of Consultant	Position / Titles	\$/ person week	Estimated PWs	Key Tasks to be performed
	climate change adaptation specialist			<ul style="list-style-type: none"> -Control quality of inputs and outputs of all consultants and subcontractors; -Validate project’s problem and barrier analysis; -Help determine the project’s system boundaries and scope; - Conduct stakeholders analysis and develop stakeholders participation plan, including community mobilization strategy; - Design the adaptation measures and prepare pre-feasibility studies and costs-benefits analysis - Design the climate risk management capacity development programme that will be rolled out during the implementation phase of the project - Define the logical framework, work plan and budget for the project; -Clarify the additionality of proposed outcomes and activities -Investigate potential options for the project’s institutional and implementation arrangements; -Design Knowledge Management and M&E component (including learning mechanisms and impacts indicators); -Develop the project’s sustainability/scale up plan. -Help build partnerships and mobilize resources. -Demonstrate cost-effectiveness of the project’s interventions -Develop co-funding and financing plans; -Stimulate partnerships and help mobilize resources; and -Develop the FSP Request for CEO Endorsement and UNDP Prodoc.

Section 3: Total Budget and Work Plan (TBWP)

Award ID:	00073481
Award Title:	Sao Tome and Principe 4645 PPG Community Based Adaptation
Business Unit:	STP10
PIMS # / Project Title:	4645 / Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)
Project ID:	00086271
Implementing Partner (Executing Agency)	UNDP (DIM)

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	ERP / ATLAS Budget Code	Atlas Budget Description	Amount (\$)	
PPG : Project document development for the Community Based Adaptation project	UNDP	62160	GEF	71200	International Consultants	30,000	
				71300	Local Consultants	20,000	
				72100	Contractual Services	15,000	
				71600	Travel	10,000	
	GEF Subtotal						75,000
	UNDP	4000	UNDP	72100	Contractual Services	30,000	
				71600	Travel	15,000	
				74200	Audio Visual, Printing and Translation	15,000	
				74500	Miscellaneous	15,000	
	TRAC Subtotal						75,000
TOTAL PPG						150,000	

Summary of total funds by source

TOTAL GEF	75,000
TOTAL UNDP	75,000
TOTAL PPG	150,000



Empowered lives.
Resilient nations.

May 13, 2013

Dear Mr. Salema,

Subject: Enhancing capacities of rural communities to pursue climate resilient livelihood options in the Sao Tome and Principe districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata – PIMS No. 4645 ATLAS BU: STP10 - Award No.: 00073481 - Project No.:00086271

I am pleased to delegate to you the authority to sign the Initiation Plan for the above-mentioned Project Preparation Grant (PPG) on behalf of UNDP, and to commence development of the main project. As per Rule 116.05 of the UNDP Financial Regulations and Rules (Executive Board Decision 2005/1), this document becomes effective when signed by the Resident Representative. The Initiation Plan, which amounts to a total of US\$75,000 has received its final approval in accordance with the established GEF procedures (CEO approval letter for the PPG attached for ease of reference).

I am also pleased to provide a summary of the next steps in the process and to outline, for your easy reference, the mandatory GEF-specific project financial and results management requirements. In addition, a number of Advisory Notes have been prepared to support the implementation of UNDP supported GEF funded projects, these and further clarification on the GEF project cycle and requirements, can be found in the UNDP GEF Programming Manual at <http://intra.undp.org/gef>.

Next steps and mandatory GEF-specific requirements:

1. ***Issuance of Authorized Spending Limit (ASL):*** To facilitate a quick start to the PPG, once the Initiation Plan is signed, please kindly ensure that the Atlas-generated *Annual Work Plan (AWP)* based on the *Total Budget and Annual Work Plan* in the attached document, along with a copy of the signed cover page, is sent to Mr. Henry Rene Diouf, Regional Technical Advisor (RTA).

/...

Mr. Jose Salema
UN Resident Coordinator/UNDP Resident Representative
UNDP Sao Tome and Principe

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Any proposed budget revisions should be forwarded to the UNDP RTA together with a clear explanation of the changes proposed as any significant changes require review and approval. In addition, please note that UNDP/GEF is not in a position to increase the project budget above the amount already approved by the GEF Council. Therefore, any over-expenditure on this project would have to be absorbed by other Country Office resources.

2. GEF-specific project management requirements:

- Any changes contemplated with respect to the project objectives and outcomes will have to be discussed with and approved by the UNDP/GEF RTA, as they will have to be reported to the GEF.
- The final FSP must be ready by 30 November 2013 as recorded in the Initiation Plan. The Regional Technical Advisor will advise you of the expected timeline for submission of the final proposal for the purpose of internal UNDP clearance prior to submission to the GEF Secretariat.
- The final submission of the FSP that is prepared with this preparation grant must be accompanied by a "GEF PPG Status Report". The template can be obtained from the UNDP GEF Programming Manual <http://intra.undp.org/gef>
- This preparatory phase must be operationally completed in Atlas once the main project is endorsed/approved by the GEF CEO. Financial closure should follow within 12 months, but preferably within the same calendar year.
- Annex 2 includes a number of key UNDP/GEF management performance indicators that aim to improve the efficiency and effectiveness in the oversight and supervision services provided. Performance against these indicators will be monitored on an annual basis.
- In order to accord proper acknowledgement to the GEF for providing funding, full compliance is needed with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding the GEF%20final_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf). Full compliance is also required with UNDP's branding guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>.

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In concluding, I would like to assure you of UNDP/GEF's and my personal commitment to a successful implementation of the project. The Regional Technical Advisors are at your disposal for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Adriana Dinu', with a long horizontal flourish extending to the right.

Adriana Dinu
Officer in Charge
UNDP/GEF

cc: Mr. Tegegnetwork Gettu, Assistant Administrator and Regional Director, RBA, New York
Mr. Henry Rene Diouf, UNDP/GEF Regional Technical Advisor, South Africa
Mr. Laurent-Mascar Ngoma, Environmental Focal Point, UNDP Sao Tome and Principe

Annexes

Annex 1 CEO approval letter for PPG



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii PhD
Chief Executive Officer and Chairperson

1815 H Street, NW
Washington, DC 20433 USA
Tel: 202.473.3202
Fax: 202.522.3240/3245
E-mail: Nishina1@gef.org

March 23, 2013

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

Dear Ms. Dinu:

I am pleased to inform you that the following submission is cleared for inclusion in the work program with the PPG approved and will be funded by the Least Developed Countries Fund:

Approval Stage:	PIF Clearance and PPG Approval
GEFSEC (PMIS) ID	5184
Agency ID	4645 (UNDP)
Agency(ies):	UNDP
Project Type:	Full Size Project
Country(ies):	Sao Tome and Principe
Name of Project:	Enhancing Capacities of Rural Communities to Pursue Climate Resilient Livelihood Options in the Sao Tome and Principe Districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPI CL)
Indicative GEF Grant:	\$4,000,000
Indicative Agency Fee:	\$380,000
PPG Grant:	\$75,000
PPG Agency Fee:	\$7,125

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

It is our expectation that your Agency will submit a final project document in a timely manner, so that it is endorsed by the CEO no later than 18 months after council approval of the PIF.

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Kindly inform the Secretariat as soon as possible if this timeline cannot be met so the Secretariat can either revise milestones or cancel the project, in consultation with the beneficiary country and your agency.

Attached is a copy of the review sheet for your records .

Sincerely,



Naoko Ishii
CFO and Chairperson
Global Environment Facility

Attachment GEF SEC Project Review Document
cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee

United Nations Development Programme

Annex 2: Project Support Services

Stage	Country Office ¹	UNDP/GEF
Identification, Sourcing/Screening of Ideas, and Due Diligence	Identify project ideas as part of country programme/CPAP and UNDAF/CCA.	<ul style="list-style-type: none"> • Technical input to CCA/UNDAFs and CPAPs where appropriate. • Input on policy alignment between projects and programmes. • Provide information on substantive issues and specialized funding opportunities (SOFs). • Policy advisory services including identifying, accessing, combining and sequencing financing. • Verify potential eligibility of identified idea.
	Assist proponent to formulate project idea / prepare project idea paper (e.g. GEF PIF/PPG/PCB).	<p><i>Technical support:</i></p> <ul style="list-style-type: none"> • Research and development. • Provide up-front guidance. • Sourcing of technical expertise. • Verification of technical reports and project conceptualization. • Guidance on SOF expectations and requirements. • Training and capacity building for Country Offices.
	<p><i>Appraisal:</i></p> <ul style="list-style-type: none"> • Review and appraise project idea. • Undertake capacity assessments of implementing partner as per UNDP POPP. • Environmental screening of project as and when included in UNDP POPP. • Monitor project cycle milestones. 	<ul style="list-style-type: none"> • Provide detailed screening against technical, financial, social and risk criteria. • Determine likely eligibility against identified SOF.
	<p><i>Partners:</i></p> <ul style="list-style-type: none"> • Assist proponent to identify and negotiate with relevant partners, cofinanciers, etc <p><i>Obtain clearances:</i></p> <ul style="list-style-type: none"> • Government, UNDP, Executing Agency, LPAC, cofinanciers, etc. 	<ul style="list-style-type: none"> • Assist in identifying technical partners. • Validate partner technical abilities. • Obtain SOF clearances.
Project Development	<p><i>Initiation Plan:</i></p> <ul style="list-style-type: none"> • Management and financial oversight of Initiation Plan • Discuss management arrangements 	<ul style="list-style-type: none"> • Technical support, backstopping and troubleshooting. • Support discussions on management arrangements • Facilitate issuance of DOA

¹ As per UNDP POPP with additional SOF requirements where relevant.

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Stage	Country Office ¹	UNDP/GEF
	<p><i>Project Document:</i></p> <ul style="list-style-type: none"> ◦ Support project development, assist proponent to identify and negotiate with relevant partners, cofinanciers, etc. ◦ Review, appraise, finalize Project Document. ◦ Negotiate and obtain clearances and signatures – Government, UNDP, Implementing Partner, LPAC, cofinanciers, etc. ◦ Respond to information requests, arrange revisions etc. ◦ Prepare operational and financial reports on development stage as needed. 	<p><i>Technical support:</i></p> <ul style="list-style-type: none"> ◦ Sourcing of technical expertise. ◦ Verification of technical reports and project conceptualization. ◦ Guidance on SOF expectations and requirements. ◦ Negotiate and obtain clearances by SOF ◦ Respond to information requests, arrange revisions etc. ◦ Quality assurance and due diligence. ◦ Facilitate issuance of DOA
<p><i>Key UNDP/GEF management performance indicators/targets for Project Development:</i></p> <ol style="list-style-type: none"> 1. Time between PIF approval to CEO endorsement for each project: <ul style="list-style-type: none"> ◦ Target for GEF trust fund project: FSP = 18 months or less, MSP 12 months or less. ◦ Target for LDCF and SCCF: FSP/MSP = 12 months or less. 2. Time between CEO endorsement (or PAC for non GEF funded projects) to first disbursement for each project: <ul style="list-style-type: none"> ◦ Target = 4 months or less 		
<p>Project Oversight</p>	<p><i>Management Oversight and support</i></p>	<p><i>Technical and SOF Oversight and support</i></p>
	<p><i>Project Launch/Inception Workshop</i></p> <ul style="list-style-type: none"> ◦ Preparation and coordination. 	<ul style="list-style-type: none"> ◦ Technical support in preparing TOR and verifying expertise for technical positions. ◦ Verification of technical validity / match with SOF expectations of inception report. ◦ Participate in Inception Workshop
	<p><i>Management arrangements:</i></p> <ul style="list-style-type: none"> ◦ Facilitate consolidation of the Project Management Unit, where relevant. ◦ Facilitate and support Project Board meetings as outlined in project document and agreed with UNDP RTA. ◦ Provide project assurance role if specified in project document. 	<ul style="list-style-type: none"> ◦ Technical input and support to TOR development. Troubleshooting support. ◦ Support in sourcing of potentially suitable candidates and subsequent review of CVs/recruitment process.
	<p><i>Annual WorkPlan:</i></p> <ul style="list-style-type: none"> ◦ Issuance of AWP. ◦ Monitor implementation of the annual work plan and timetable. 	<ul style="list-style-type: none"> ◦ Advisory services as required ◦ Review AWP, and clear for ASL where relevant.
	<p><i>Financial management:</i></p> <ul style="list-style-type: none"> ◦ Conduct budget revisions, verify expenditures, advance funds, issue combined delivery reports, ensure no over-expenditure of budget. ◦ Ensure necessary audits. 	<ul style="list-style-type: none"> ◦ Allocation of ASLs, based on cleared AWP ◦ Return of unspent funds to donor ◦ Monitor projects to ensure activities funded by donor comply with agreements/ProDocs ◦ Oversight and monitoring to ensure financial transparency and clear reporting to the donor