



Government of Syrian Arab Republic

&

United Nations Development Programme

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

**“Energy Efficient Building Codes”  
SYR/09/004**

Recognizing the importance of promoting energy efficiency and due to the complexity of the technical issues addressed by the Energy Efficient Building Codes; UNDP Syria will support the Syrian Government to carry out preparatory activities needed for the design of a full scale UNDP/GEF project and to come up with the documentation required.

## Signature PAGE

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

**UNDAF Outcome(s)/Indicator(s):**

UNDAF 4: The environment at the national and regional/local levels improved, through the integration of sustainable environmental management in development plans, programmes and budgets

**Expected Outcome(s)/Indicator (s):**

C.1: National capacity strengthened for meeting obligations towards ratified environmental conventions (biodiversity, climate change, and desertification conventions) and national environmental legislation enforced with a particular focus on water policies

*(CP outcomes linked t the SRF/MYFF goal and service line)*

C.1.4: Resilience of national development sectors to the impacts of climate change improved through adaptation and mitigation

**Expected Output(s)/Indicator(s):**

Full Size Project Document for energy efficient building code prepared

*(CP outcomes linked t the SRF/MYFF goal and service line)*

Implementing Partner: Ministry of Electricity / National Energy Efficiency Centre (NERC)

Responsible Party: N/A

Programme Period: 2007-20011

Key Result Area: Strengthening environmental management and Environment Protection

PPG Title: Energy Efficient Building Codes

ATLAS Award ID: 00057162

PIMS Project ID: PIMS 4037 NATIONAL BUILDING CODES

Duration: Sep2009 – March 2010

Management Arrangement: NEX

Total budget: US\$ 140,000

Allocated resources

- Government \_\_\_\_\_
- GEF US\$ 140,000
- Other: \_\_\_\_\_

○ Donor \_\_\_\_\_

○ Donor \_\_\_\_\_

○ Donor \_\_\_\_\_

In kind contribution US\$150,000

**Agreed by H.E. Dr. Tayssir Al-Riddawi, Head of the State Planning Commission**

On behalf of the Syrian Government and the State Planning Commission.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Agreed by H.E. Dr. Eng. Ahmad Kussay Kayyali, Minister of Electricity**

On behalf of the Ministry of Electricity, the Implementing Partner/ NERC

Signature: \_\_\_\_\_

Date: 9.9.2009

**Agreed by Ms. Zena Ali Ahmad, UNDP Resident Representative a.i.**

Signature: \_\_\_\_\_

Date: 9/9/2009

### **Brief Description of Initiation Plan**

Recognizing the importance of promoting energy efficiency and due to the complexity of the technical issues addressed by the Energy Efficient Building Codes; UNDP Syria will support the Syrian Government to carry out preparatory activities needed for the design of a full scale UNDP/GEF project and to come up with the documentation required .The initiation plan will be implemented over a seven month period with the following activities:

- 1) Analyze & identify gaps and barriers in building EE legislation and regulations and their effective implementation;
- 2) conduct other supporting studies to elaborate the detailed project design;
- 3) Set the monitoring and evaluation plan;
- 4) Finalize the full size UNDP/GEF project document and other required documentation for the final GEF endorsement.

During the initiation plan the most appropriate participants and partners potential donors for co-financing will be identified.

### **Management Arrangement:**

The project will be nationally implemented by the Ministry of Electricity /National Energy Efficiency Center (NERC) (referred to as the implementing partner) in accordance with the established UNDP rules and procedures. The NERC will be responsible for the overall implementation of the project and for ensuring that the day-to-day activities are implemented in accordance with the work plan. It will also be responsible, together with UNDP Country Office, for supervising project staff and consultants and ensuring, that proper equipment is in place and coordination of events. The implementing partner will be responsible for providing in kind contribution of office space, facilitation of contacts, access to information and resources and allocation of national and local counterparts. Staff of the implementing partner will support the project as part of the capacity development requirements.

The UNDP national execution modality will prevail, with the support of the UNDP country office. In addition to regular technical backstopping and monitoring activities regularly provided, the UNDP Country Office shall provide the implementing agency with support services for the execution of the Project (Initiation Plan). This will ensure that technical and substantive expertise is available to the Project (Initiation plan) for coordination, recruitment, procurement and contracting

During the implementation, international consultants will work along with the national experts and stakeholders to carry out preparatory activities needed for the project design and to come up with the documentation required for a full scale UNDP/GEF project.

A Lead International project design consultant will be recruited according to UNDP rules and procedures. The Lead International project design consultant will lead the development of the UNDP/GEF full-sized project document and associated documentation and have responsibility for its delivery with the input and support of other consultants.

A Lead National stakeholder involvement and project formulation consultant will be recruited according to UNDP rules and procedures. The Lead National Consultant will lead the stakeholder coordination and consultations with regard to the cooperation, co-financing and institutional arrangements for the full project; integrate the various parts of the initiation plan into one coherent process. In addition the National lead consultant will be responsible for the day-to-day management of the project. S/He will also be accountable for the implementation of all the activities of the project, ensuring adherence to and application of acceptable financial management systems and monitoring and evaluating the project's overall progress. S/He will be accountable to the PB, and any changes in the milestones and outputs of the project will be discussed with and agreed upon by the PB. The Lead National Consultant will head the project Preparation Team. He will be supported by an assistant whom will be recruited by UNDP according to its rules and regulations. The assistant will support the lead project formulation expert in the project preparation and in co-ordinating the different inputs and administrative and financial issues.

The purchase of non-expendable equipment and services will be done by UNDP according to its rules and regulations. An Implementation Support Service (ISS) fee will be charged to the project according to the nature of services offered as requested by National Project Director. The request should be based on a procurement plan submitted along with the work plan. These fees will be charged based on the latest update of the UNDP Universal Price List .

Planning and management of implementation will be governed through approved annual work plans, with schedules defined either monthly or quarterly. The approved annual work plan, once endorsed by MOE, SPC and UNDP, will be the instrument of authorization to the Project Team to implement.

The Project Team will be subjected to monthly, quarterly and annual reporting and review requirements. These reviews will reassess, if appropriate, the work plans. These reviews are intended to create the necessary conditions for effective and efficient execution as well as implementation.

### **Monitoring and Evaluation**

The Lead National Consultant and the implementing partner (MoE/NERC) will be responsible for delivering the outputs of the project, the implementation, input management, and sound administrative management. The National Lead consultant will develop and submit a detailed project work plan, a procurement plan at the outset of the project, quarterly financial reports, and quarterly progress reports to the UNDP country office. The report should include two sections, namely project implementation and project performance. It should receive inputs from Deliverable Descriptions, Outputs Definitions, Quality Log, Issues Log, and Risks Log. Additionally, a final project review report at the end of the project (initiation plan) will be submitted to UNDP. These

documents will provide critical information and lessons learned regarding the effectiveness of the implementation strategy and the delivery of outputs.<sup>1\*</sup>

A National Project Board (PMB) will be established to oversee the overall project implementation.. The composition shall include government officials from MoE/NERC, SPC, and UNDP.

The Project (initiation plan) Board will meet on a regular basis in order to take stock of the progress of the project (initiation plan). All stakeholders will also participate in a Final Review Meeting at the end of the project duration, where a Final Project Review Report highlighting the main achievements, results, and lessons learned will be reviewed and discussed by UNDP CO during the life of the project (initiation plan).

### **Risks Log:**

Risk is a major factor to be considered in designing and managing any project. Risk can be defined as the possibility that an event will occur and affect the achievement of outputs either negatively or positively. As such, it can represent a threat or a missed opportunity.

In order to contribute to a project's success, risks must be identified, assessed and prioritized. Then the possible actions to deal with these risks need to be considered and an appropriate action plan needs to be developed. This involves planning for and implementing resources to carry out selected actions to address the risks. These actions must be incorporated in the project work-plan, and require periodic monitoring and reporting to ensure that all risk management activities are having the desired effect.

Risks should be identified and assessed using the project Risk Log (annex 4), Once once the project Award has been created in Atlas, the risks should be recorded in the Atlas Project Management module. The Risk Log should be maintained and updated as required in Atlas for the duration of the project

Risks Associated with implementation can be identified as follows:

Operational: The processes of recruitment and procurement are time consuming and may cause delays in implementation.

Operational: Inability to find qualified national experts for preparing supporting studies needed for elaboration of the detailed project design

### **Legal Context**

This Initiation Plan (Project document) shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the S.A.R. and the United Nations Development Programme, signed by the parties on 12 March 1981. The host-country implementing unit shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in that document. The following types of revisions may be made to this project document

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<sup>1</sup> These reports will be prepared in line with the UNDP /GEF updated rules and regulations

with the signature of the UNDP Resident Representative only, provided he is assured that the other signatories of the project document have no objections to the proposed changes:

- Revisions in, or additions of, any of the annexes of the project document.
- Revisions which do not involve significant changes in immediate objectives, outputs or activities of the project, but are necessitated by rearrangement of inputs already agreed to, or by cost increases due to inflation; and
- Mandatory annual revisions, which re-phase the delivery of agreed project inputs or expert or other costs due to inflation or take into account expenditure flexibility.

## GEF PPG approved grant document and TBWP



**GEF**

### **REQUEST FOR PROJECT PREPARATION GRANT (PPG)**

**PROJECT TYPE: FULL- SIZED PROJECT  
THE GEF TRUST FUND**

**Submission date:** October 8, 2008  
**Re-submission date:** February 26, 2009

**GEFSEC PROJECT ID<sup>2</sup>:**  
**GEF AGENCY PROJECT ID:** 4037  
**COUNTRY (IES):** Syria  
**PROJECT TITLE:** Energy Efficient Building Codes  
**GEF AGENCY (IES):** UNDP  
**OTHER EXECUTING PARTNER(S):** National Energy Research Center (NERC)  
**GEF FOCAL AREA(S):** Climate Change  
**GEF-4 STRATEGIC PROGRAM(S):** CC-SP1 Promoting Energy Efficiency in Residential and Commercial Buildings

**NAME OF PARENT/PROGRAM/UMBRELLA PROJECT:** N/A

#### **A. PROJECT PREPARATION TIMEFRAME**

Start date	January 2009
Completion date	January 2010

#### **B. PROJECT PREPARATION ACTIVITIES (\$)**

**Describe the PPG activities:** Due to the complexity of the technical issues addressed by the project and its broad multi-disciplinary nature, it is necessary to implement a PPG stage for a 12-month period to identify the most appropriate participants and partners, to secure co-financing and to design and develop the Full Size Project (FSP) Document. During the implementation, international consultants will work along with the national experts and stakeholders to carry out preparatory activities needed for the project design and to come up with the documentation required for a full scale UNDP/GEF project.

##### **1. Analyze & identify gaps and barriers in building EE legislation and regulations and their effective implementation.**

Review and analyze the existing national legislation and building energy performance standards, identify the existing gaps and propose a plan for the revision of the national legislation and standards to make them more comprehensive and consistent with the internationally recognized best practices;

Identify and analyze the barriers to effective enforcement of the current and foreseen future building codes and energy performance standards;

<sup>2</sup> Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

Elaborate measures and develop a support program to overcome the identified barriers, including capacity building of relevant government and private sector stakeholders;

1.4 Review and assess the capacity of the building sector and its key stakeholders, including architects, real estate development companies, construction firms, and building material suppliers, to adopt more stringent energy performance criteria

1.5 Synthesize and report results

## **2. Conduct other supporting studies to elaborate the detailed project design**

2.1 Prioritize policies and measures

2.2 Formulate EE Building strategy and investment plan

2.3 Identify the demo area for the implementation of an integrated building design approach;

2.4 Identify the roles and responsibilities of all stakeholders for integrated design of the selected buildings

2.5 Generate a work plan for ensuring that the selected building(s) are designed and constructed in accordance with integrated building design approach;

2.6 Develop a program for promoting the integrated building design approach, including awareness raising, training modules (together with an identified hosting institution) for building professionals and, as applicable, a guidebook for introducing integrated building design for private sector organizations.

2.7 Develop a plan and set the basis for supporting the government (NERC) to monitor and enforce compliance with the legal requirements.

2.8 Presenting the draft project design and securing the engagement of the key stakeholders

## **3 Set the monitoring and evaluation plan**

3.1 Develop a methodology for a monitoring plan to measure direct and indirect financial savings and GHG emission reductions resulting from the integrated building design and construction and the impacts of revising the national energy performance standards and improved enforcement.

3.2 Prepare a methodology for measuring and reporting energy consumption nation-wide and develop a programme of activities for promoting the reporting of building energy consumption by energy managers.

## **4 On the basis of the studies conducted, finalize a full size UNDP/GEF project document and other required documents for the final endorsement of the project, including:**

4.1 An updated situation and baseline analysis

4.2 Project logical framework and detailed planning matrix, including concrete targets and indicators taking into account the guidance provided by GEF

4.3 A risk assessment and a risk mitigation strategy, including an assessment of the social, economic and financial sustainability of proposed project activities

4.4 Description of project's institutional framework/implementation mechanism and stakeholder involvement plan



- 4.5 Detailed project budget in ATLAS, including confirmation of the project co-financing in compliance with the GEF incremental costs principle;
- 4.6 Detailed project management and implementation plan;
- 4.7 Terms of reference for the key positions and consultants.

Summary of project preparation activities	GEF Grant	Co-financing (in-Kind)	Total
1. Analyze & identify gaps and barriers in building EE legislation and regulations and their effective implementation.	40,000	60,000	100,000
2. Conduct other supporting studies to elaborate the detailed project design	45,000	65,000	110,000
3. Set the monitoring and evaluation plan	15,000	5,000	20,000
4. Finalize the full size UNDP/GEF project document and other required documentation for the final GEF endorsement :	40,000	20,000	60,000
<b>Total Project Preparation Financing</b>	<b>140,000</b>	<b>150,00</b>	<b>290,000</b>

#### C. PPG BUDGET REQUESTING FINANCE BY GEF

Cost Items	Total Estimated Person Weeks (PW) <sup>3</sup>	GEF (\$)	Co-financing (\$) (In-Kind)	Total (\$)
Local consultants *	242(88GEF)	32,000	95,000	127,000
International consultants*	25	75,000		75,000
Travel		10,000	7,000	17,000
Other (communication, workshops, reporting, office, stationary)		23,000	48,000	71,000
<b>Total PPG Budget</b>		<b>140,000</b>	<b>150,000</b>	<b>290,000</b>

\* Split between local and international consultants might be indicative and subject to the procurement guidelines of the Agencies. Additional information regarding consultants should be provided in Annex A.

#### D. GEF AGENCY (IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.	
<i>Name &amp; Signature</i> GEF Agency Coordinator	Project Contact Person: Benoit Lebot
Date: (Month, Day, Year)	Tel. and Email: :+ 33 1 44 37 46 97 Benoit.lebot@undp.org

<sup>3</sup> Details are included in Annex A

## Annex A

### Consultants Financed by the Project Preparation Grant (PPG)

Position Titles	\$/ Person Week	Estimated PWs	Tasks to be performed
<b>Local Consultants</b>			
Lead stakeholder involvement and project formulation expert	500	36	<ul style="list-style-type: none"> <li>- Lead the stakeholder coordination and consultations with regard to the cooperation, co-financing and institutional arrangements for the full project;</li> <li>- Integrate the various parts of the PPG into one coherent process</li> </ul>
Assistant to the lead project formulation expert	200	36	<ul style="list-style-type: none"> <li>- Assist the lead project formulation expert in the project preparation and in co-ordinating the different inputs</li> </ul>
Building Sector and Materials Expert	450	7	<ul style="list-style-type: none"> <li>- Review and assess the absorption capacity of the building sector including architects, real estate development companies, construction firms, and building material supplies to adopt more stringent energy performance standards;</li> <li>- Support the international consultant in establishment of baseline scenario including recommendations on the most the feasible EE building materials, equipments</li> </ul>
Buildings energy performance policy and capacity building expert	410	5	<ul style="list-style-type: none"> <li>- Lead the review and assessment of the existing national legislation and building energy performance standards, identifying the barriers and related capacity building needs to improve the enforcement of the national building codes;</li> <li>- Elaborate the possible incentive and other enforcement mechanisms and the related institutional and capacity building needs and programs for the key stakeholders (incl. government institutions, municipalities and building inspectors) to improve the enforcement of energy efficient building codes;</li> <li>- In cooperation with international policy expert propose a plan for the development of a program for revision of national legislation and standards</li> </ul>
Financial consultant	400	4	<ul style="list-style-type: none"> <li>- Conduct feasibility study and work collaboratively with the marketing expert and the lead consultant;</li> </ul>

<b>International Consultants</b>			
Lead project design expert	3000	12	<ul style="list-style-type: none"> <li>- Assess the real market in both supply and demand sides through surveys and market analysis with future projections;</li> <li>- Develop the baseline scenario</li> <li>- Provide expertise on the design of the full project taking into account international best practices and lessons learnt from implementing similar projects elsewhere</li> <li>- Support the drafting of the logical framework and M&amp;E plan including baselines and indicators</li> <li>- Support the drafting of TORs for national experts and short-term international consultants</li> <li>- Provide other required guidance and support for the preparation of the FP proposal</li> <li>- Finalize the FSP for submission to the GEF, and advocate the project as necessary for the GEF approval.</li> <li>- On the basis of the feedback of GEFSEC, STAP, GEF agency, GEF Council Members etc. assist in the preparation of necessary responses/ revisions if required until such times as the project is either approved or rejected.</li> </ul>
Policy/building energy performance standards expert	3000	3	<ul style="list-style-type: none"> <li>- Provide expertise on necessary revisions of national legislation and standards</li> </ul>
Architect (Integrated Building Design)	3000	4	<ul style="list-style-type: none"> <li>- Provide expertise to develop practices, procedures and institutional arrangements for introducing integrated building design approach and on the most the feasible EE building materials and equipment</li> </ul>
Energy management expert	3000	4	<ul style="list-style-type: none"> <li>- Provide expertise on building energy management, for monitoring and enforcing compliance and for the related capacity building needs.</li> </ul>
M&E expert	3000	2	<ul style="list-style-type: none"> <li>- Provide expertise on development of a monitoring plan to measure direct and indirect financial and GHG emission reductions resulting from the integrated building design and on a methodology for measuring and reporting energy consumption nation-wide</li> </ul>

**Total Budget and Work Plan**

<b>Award ID:</b>	<b>00057162 (PIMS 4037: Syria - Energy Efficiency Buildings Codes)</b>
<b>Award Title:</b>	<b>(PIMS 4037: Syria - Energy Efficiency Buildings Codes)</b>
<b>Business Unit</b>	<b>SYR10</b>
<b>Project Title:</b>	<b>Syria - Energy Efficiency Buildings Codes</b>
<b>Project ID: PIMS no. 4037</b>	<b>00070525 (PIMS 4037 NATIONAL BUILDING CODES)</b>
<b>Implementing Partner (Executing Agency)</b>	

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 2009 (USD)	Amount Year 2010 (USD)	Total (USD)
	Implementing Agent							
Activity 1: Analyze & identify gaps and barriers in building EE legislation and regulations and their effective implementation.	MOE 002084	62000	GEF	71200	International Consultants	18200	0	18200
				71300	Local Consultants	10400	0	10400
				71400	Contractual services	1400	0	1400
				71600	Travel	3000	0	3000
				72500	Office Supplies	4000	0	4000
				74500	Miscellaneous	3000	0	3000
					sub-total GEF	40000	0	40000
	<b>Total Outcome 1</b>	<b>40000</b>	<b>0</b>	<b>40000</b>				
Activity 2: Conduct other supporting studies to elaborate the detailed project design	MOE 002084	62000	GEF	71200	International Consultants	28200	0	28200
				71300	Local Consultants	6400	0	6400
				71400	Contractual services	1400	0	1400
				71600	Travel	3000	0	3000
				72500	Office Supplies	2000	0	2000
				74500	Miscellaneous	4000	0	4000
					sub-total GEF	45000	0	45000
	<b>Total Outcome 2</b>	<b>45000</b>	<b>0</b>	<b>45000</b>				
Activity 3: Set	MOE 002084	62000	GEF	71200	International Consultants	8000	0	8000

the monitoring and evaluation plan				71300	Local Consultants	2000	0	2000
				71400	Contractual services	1400	0	1400
				71600	Travel	1500	0	1500
				74500	Miscellaneous	2100	0	2100
					sub-total GEF	15000	0	15000
				<b>Total Outcome 3</b>	<b>15000</b>		<b>15000</b>	
Activity 4: Finalize the full size UNDP/GEF project document and other required documentation for the final GEF endorsement	MOE 002084	62000	GEF	71200	International Consultants	9000	11600	20600
				71300	Local Consultants	2000	4000	6000
				71400	Contractual services	1400	1600	3000
				71600	Travel	1000	1500	2500
				72500	Office Supplies	2000	0	2000
				74500	Miscellaneous	4000	1900	5900
					sub-total GEF	19400	20600	40000
				<b>Total Outcome 4</b>	<b>19400</b>	<b>20600</b>	<b>40000</b>	
<b>Project Total</b>						119400	20600	140000

**Summary of Funds:**

GEF		119400\$	20600\$	140000\$
<b>Government in Kind Contribution</b>		120000\$	30000\$	150000\$
<b>Total</b>		239400\$	50600\$	290000\$

Summary of Funds: <sup>4</sup>

GEF		2009	2010	\$	\$	\$
Government in-kind contribution						
<b>TOTAL</b>		\$	\$	\$	\$	\$

<sup>4</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc. etc