



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG) OR
PROGRAMME COORDINATION BUDGET (PCB)

Country Vanuatu

Title: Adaptation to Climate Change in the Coastal Zone in Vanuatu

Relevant UNDAF Outcome(s) and Indicator(s): *List UNDAF outcome.*

2013 – 2017:

1.1 Improved resilience of the most vulnerable communities through enhanced capacities to apply integrated approaches to environmental and natural resource management, climate change adaptation/mitigation, and disaster risk management.

Relevant CP/CPAP Outcome(s) and Indicator (s):

2013 – 2017:

Strengthened capacities to sustainably manage and utilize natural resources and enhanced resilience to natural disasters and climate change.

Relevant UNDP Strategic Plan Environmental and Sustainable Development Primary Outcome: National capacity is strengthened to manage the environment in a sustainable manner while ensuring adequate protection of the poor. UNDP Strategic Plan Secondary Outcome: Coherence in global development aimed at real improvements in people's lives and in the choices and opportunities open to them strengthened through policy advice, technical support, advocacy and contributions.

Programme Period: 2013
Programme Component: Environment & Energy
(Climate Change Adaptation)
PPG Title: Adaptation to Climate Change in the
Coastal Zone in Vanuatu
ATLAS Project/Award IDs: 00084882 / 00071372
PIMS Project ID: 4866
Duration: 12 months
Management Arrangement: DIM

Total budget:	\$750,000
Allocated resources:	
• GEF - LDCF	\$250,000
• UNDP co-financing	\$500,000

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

(Enter Name, Position)

Signature

Date: (Month, day, year)

Knut Ostby, Resident Representative

01/24/2013

Brief Description of Initiation Plan

This initial plan is for development of a Full Sized Project (FSP) on Vanuatu: Adaptation to Climate Change in the Coastal Zone in Vanuatu.

Vanuatu comprises over 80 islands, of which 68 are inhabited, and has a population of around 234 000 people. It has a combined land area of 14,760 km² and a maritime exclusive economic zone of 680,000 km². The country experiences severe tropical cyclones during the summer months of December to February, anomalously long dry spells associated with the El Nino-Southern Oscillation (ENSO), and frequent earthquakes and seismic activity due to its location along the “Pacific Ring of Fire”. According to the Commonwealth Vulnerability Index,¹ Vanuatu ranks as the world’s most vulnerable country due to its high exposure to natural disasters, scattered island geography, narrow economic base, inadequate communication and transportation networks, and limited capacity to cope with disasters including climate change.

Project Initiation Plan approach. To address climate change and increase the resilience of entire coastal areas, the project is focused on implementing community-level actions and establishing wider level enabling mechanisms at the provincial and national levels. Specifically, the project will:

- a) Improve the adaptive capacity of communities to climate change impacts through integrated approaches and community actions in the restoration of productive coastal ecosystems and implementation of applicable concrete adaptation measures;
- b) Reduce exposure of coastal dwellers to climate hazards and risks through the installation and maintenance of an early warning system;
- c) Improve climate-related governance at the national, provincial and village levels to ensure sustainability and replication of successful climate change adaptation measures; and
- d) Increase awareness about climate change perils in general and adaptation in the coastal zone in particular, to increase resilience of the general population to climate change impacts.

Considering the vulnerability of the coastal zone to climate change impacts, a number of bilateral and multilateral organizations have supported coastal countries and communities to implement ICM-based adaptation strategies. A useful reference which underpins the framework for this proposed project is the publication, “Adapting to Coastal Climate Change: A Guidebook for Development Planners²”. The Guidebook proposes a number of steps for assessing vulnerability to climate change and variability, developing and implementing adaptation

¹ Based on: (a) the impact of external shocks over which an affected country has little or no control and (b) the resilience of a country to withstand and recover from such shocks.

² This publication came out in May 2009 and was prepared it was prepared by the Coastal Resources Center–University of Rhode Island and International Resources Group with support from the United States Agency for International Development. The approach is culled from the inputs of practitioners from around the world building on their experiences in implementing related activities.

options, and integrating options into programs, development plans, and projects at the national and local levels. The steps are summarized below:

Step 1: Assess Vulnerability. This focuses on gaining an understanding of how climate variability and change will impact coastal communities, the goods and services provided by natural resources and human-built infrastructure. In addition, the current capacity of coastal communities and ecosystems to adapt to and cope with climate impacts will be assessed.

Step 2: Select a Course of Action. This will involve the identification of adaptation goals and assessment of individual adaptation measures or measures bundled into a strategy. Goals could include the following: maintain functioning and healthy ecosystems; reduce exposure and vulnerability of the built environment; strengthen governance frameworks for coastal adaptation; maintain livelihood opportunities and diversity options; etc.

Step 3: Mainstream Coastal Adaptation. This means that climate concerns and adaptation responses are integrated into relevant development policies, plans, programs, and projects at all geopolitical scales. This will ensure ownership by those responsible for preparing and implementing the ICM-based CC adaptation plans.

Step 4: Implement Adaptation. Even with the preceding steps undertaken properly, there will be challenges in the implementation which include inadequate capabilities, lack of financing to sustain adaptation, weak legal frameworks and enforcement, information gaps, poor technical effectiveness of CC adaptation measures, among others. These challenges will have to be expected and addressed effectively during implementation.

Step 5: Evaluate for Adaptive Management. This is in recognition of the ongoing and iterative process of adaptation whereby the strategy will benefit from periodic evaluation of performance coupled with an adaptive management process to fine-tune implementation.

Project sites

In consultations with the main implementing partners – DEPC, PWD, VMGD – the long-list of potential project sites is shown below. The sites were selected based on a set of criteria, including vulnerability to CC impacts in the coastal zone, accessibility, presence of ongoing baseline activities, among others. The project will cover at least 6 sites and potentially more depending on the cost needed to improve resilience of coastal infrastructure in each site. The final number of sites will be determined during the PPG phase.

Island (Province)	Community	CC Impacts	Major Climate Change Adaptation Measures under Output 1.2.3 (tentative)
Malekula (Malampa Province)	Tismam and Unua	Flooding	Road re-alignment; improvements in river crossing
Emae (Shefa Province)	Emae Island	Flooding; coastal erosion; sea level rise	Road protection through hard and soft measures
Makira (Shefa Province)	Makira	Flooding; coastal erosion; sea level rise	Protective sea wall construction (<\$10,000)

Ambae (Penama Province)	West Ambae	Flooding; coastal erosion	Improvements in river crossing
	East Ambae	Flooding; coastal erosion	Re-vegetation of coastal area
Ambrym (Malampa Province)	Southeast Ambrym	Flooding	Improvements in river crossing
Santo (Sanma Province)	South Santo	Flooding; coastal erosion	Improvements in river crossing; coastal stabilization
Futuna (Tafea Province)	Futuna Is.	Flooding; coastal erosion	Raising elevation of road; re-vegetation of the coastal zone
	Aniwa Is.	Flooding; coastal erosion;	Raising elevation of road; re-vegetation of the coastal zone
Efate (Shefa Province)	Mele to Devil's Point	Flooding; coastal erosion; sea level rise	Road re-alignment; road protection through hard and soft measures
Pentecost (Penama Province)	Baravet to Panngi	Flooding; sea level rise	Road re-alignment; improvement in river crossing; re-vegetation of the coastal zone
Maewo (Penama Province)	Nasawa to Marino	Flooding; sea level rise	Road re-alignment; improvement in river crossing

The Project Preparation Grant (PPG): phase includes preparation of the project and planning, technical analyses of national, sub-regional and regional situations, structural design of the project, stakeholder consultation on final project design, and preparation of the project document. During the PPG phase, local and international consultants will be recruited to produce results under each activity as per Total Budget and Work Plan. The PPG will be conducted in close collaboration with key stakeholders identified in the approved Project Identification Form (PIF).

The PPG will build on the mechanisms and networks established during the implementation of past and ongoing projects such as Vanuatu LDCF and will design a project that will assist Government of Vanuatu (VTSSP) to meet their obligations .

The main outcome of the PPG will be the full sized project document and Request for CEO Endorsement. The detailed list of activities and expected outputs of the PPG are included in Table B below.

GEF PPG/PCB approved grant document and TBWP



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: LDCF

Submission date:

GEF PROJECT ID: 5049

GEF AGENCY PROJECT ID: 4866

COUNTRY(IES): Vanuatu

PROJECT TITLE: Adaptation To Climate Change In The Coastal Zone In Vanuatu

GEF AGENCY (IES): UNDP, (select), (select)

GEF FOCAL AREA(S): Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	03/15/2013
Completion date of PPG	07/31/2014

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The proposed PPG activities are enumerated below. The outputs of these activities will be a UNDP-GEF compliant, full-sized project document and CEO Endorsement document for submission to the LDCF.

- Through consultations with government and non-government, identify the final project sites (at least 6) from the preliminary list identified in the PIF, based on a criteria that include the vulnerabilities to climate change impacts, the extent of economic activities and their interaction with coastal ecosystems; the geographic definition of the project site will be determined and could constitute a small island or adjacent coastal villages;
- Collect and analyze relevant secondary information and conduct rapid assessments to characterize every project site in biophysical, socioeconomic and demographic (including gender) terms;
- Assess coastal resources, including mangroves, coral reefs, fisheries, coastal vegetation and their contribution to food production, livelihoods, coastal protection and to the overall coastal economy;
- Undertake vulnerability assessments of the coastal zone to climate-related impacts, including sea level rise, storm surges, flooding (coastal and inland);
- Characterize coastal infrastructure, primarily roads and bridges, assess their vulnerability to climate change, identify applicable climate-proofing measures and estimate the costs of such measures;
- Undertake intensive community consultations regarding their priorities and the likely impacts of climate change on such priorities;
- Identify, assess and confirm development baseline activities (government, private sector, various donor agencies, NGOs, church-based organizations) for each of the project component, particularly the community-based adaptation interventions;
- Prepare preliminary CCA and disaster response plans in the context of ICM to build resilience in the coastal zone, with the range of approaches to include soft and hard measures;
- Review existing policy and regulatory framework in the context for climate-sensitivity and identify areas for integration and mainstreaming of climate considerations;

- Prepare all required documentation necessary for GEF CEO endorsement of the project, including the Strategic Results Framework, Monitoring and Evaluation (M&E) system with quantifiable and verifiable impact indicators following LDCF guidelines, detailed cost estimates and all required annexes of the UNDP Project Document and the GEF CEO Endorsement document. The indicators, which will specifically address adaptation impacts, will be based on guidance by the LDCF results framework for adaptation projects;
- Define the implementation, execution and coordination arrangements for the project with detailed roles and responsibilities of government entities, UNDP and partnering NGOs and a timeline for project implementation;
- Prepare a stakeholder involvement plan for the implementation phase of the project, with a clear focus on community involvement and participation;
- Liaise with government and other project partners and secure letters confirming co-financing commitments.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Preliminary Technical Assessments	<p>1.1 Final sites for the project based from agreed criteria</p> <p>1.2 Biophysical, socioeconomic, demographic assessments reports for each project site, focusing on the coastal zone and the connectivities of land and sea-based ecosystems with human systems</p> <p>1.3 Vulnerability assessments to identify current and projected climate change risks in the coastal zone</p> <p>1.4 Assessed potential adaptation measures in the context of ICM to improve resilience to CC impacts, specifying alignments with the existing development and policy baseline</p> <p>1.5 Coastal infrastructure for climate proofing identified and</p>	LDCF	180,000	425,000	605,000

	<p>preliminary design completed</p> <p>1.6 Design of the AWS (primarily through efforts of VMGD)</p>				
2. Stakeholder Dialogues and Capacity Assessments	<p>2.1 Assessed capacities at the national and local levels to deal with CC impacts; identified priorities for capacity enhancement/building</p> <p>2.2 Policy agenda at the national and subnational levels</p> <p>2.3 Stakeholder mobilization plans at the site and national levels initiated and primed for implementation</p> <p>2.4 Partnerships established with relevant development partners</p>	LDCF	40,000	50,000	90,000
3. Project Planning	<p>3.1 UNDP project document and GEF CEO Endorsement documents, including Strategic Results Framework, M&E, project implementation and coordination arrangements, communications plan, sustainability strategies, etc.</p> <p>3.2. Cofinancing letters from partners and support from government</p>	LDCF	30,000	25,000	55,000

Total Project Preparation Financing			250,000	500,000
				750,000

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

	Project Preparation	Agency Fee
Grant Amount	250,000	25,000
Co-financing	500,000	
Total	750,000	25,000

D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
LDCF	UNDP	Climate Change	Vanuatu	250,000	25,000	275,000
(select)	(select)	(select)				0
Total PPG Amount				250,000	25,000	275,000

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	45	45000	50000	95000
International consultants*	50	80000	0	80000
Travel		100000	50,000	150,000
Meeting/Consultation Costs		25000	30000	55,000
Local costs		0	370,000	370,000
Total PPG Budget		250,000	500,000	750,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

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			Jose Erez Padilla (Gr-LECRDS)	+66 (0) 2304 9100 Ext.2644	jose.padilla@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be Performed
Local	Project Institutional Expert (1)	1000	22.00	<ul style="list-style-type: none"> - Analyze the project baseline in terms of current policies, projects and stakeholders that are relevant to the project; - Assist in identification sites of and lead in the collection of baseline information about the socio-economic and demographic (including gender) situation in the target sites; - Coordinate consultations with government and non-government agencies, local project stakeholders and potential project partners; - Organize and facilitate consultative meetings with local government and community stakeholders to assist project definition in collaboration with government partners; - Propose, based on participatory stakeholder consultations, a capacity development strategy for the project; - Assist in the preliminary analysis and design of suitable climate adaptation measures, coastal zone management, civil works - climate proofing, & disaster risk management (DRM). - Develop a communication strategy with communities and facilitate their participation; - Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements; - Develop a sustainability and exit strategy for the project (i.e. a way forward once LDCF funding is exhausted); - Help build financing partnerships and mobilize co-financing resources;
Local	Integrated Coastal Management Expert (1)	1000	23.00	<ul style="list-style-type: none"> - Undertake technical/scientific assessments of coastal ecosystems and land-based activities, including livelihoods and their connectivities and vulnerabilities to climate change - Prepare an ICM template with preliminary information for

				<p>finalization during implementation</p> <ul style="list-style-type: none"> - Contribute to the preparation of draft CC-A and DRR plans in collaboration with other team members - Take leadership in identifying soft CC-A measures including coastal 'vegetation engineering' and other soft approaches to build climate resilience in the coastal zone; - Take leadership in site-specific preliminary analysis and design of suitable civil works, vegetation engineering and coastal zone-related adaptation measures under the guidance of the international consultants and in collaboration with the other national consultant.
International	Civil Engineer	1000	30.00	<ul style="list-style-type: none"> - Review the coastal infrastructure plans of PWD, VTSSP and other donors in the selected project sites - Assess design of infrastructure and recommend areas for climate proofing - Undertake preliminary design in coordination with PWD and VTSSP and provide cost estimates - Initiate the process of securing EIAs if applicable
International	Project Development Specialist (Team Leader)	2500	20.00	<ul style="list-style-type: none"> - Act as PPG team leader responsible for coordinating all activities and reviewing the analytical tools and reports of the local consultants; - Working with UNDP and government partners, provide quality control for the FSP formulation process in line with UNDP and GEF/LDCF guidelines - Take leadership in all technical aspects of the project and in developing and writing all of the reporting requirements for CEO endorsement of the project and ensure consistency and compliance with all guidelines

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task

Total Budget and Workplan

Award ID:	Project ID(s):	00084882
Award Title:	PIMS 4866 PPG: Adaptation to Climate Change in the Coastal Zone in Vanuatu	
Business Unit:	FJI10	
Project Title:	Vanuatu: Adaptation to Climate Change in the Coastal Zone in Vanuatu	
PIMS no.	4866	
Implementing Partner (Executing Agency)	UNDP	

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2013 (USD)
Project Preparation Grant to formulate a full size project - Adaptation to Climate Change in the Coastal Zone in Vanuatu	UNDP	62160	LDCF	71300	Local Consultants	45,000
				71200	International Consultants	80,000
				71600	Travel	100,000
				75700	Meetings and Workshops	25,000
					Sub-total	250,000