



Empowered lives.
Resilient nations.

United Nations Development Programme

**Country: Papua New Guinea
PROJECT DOCUMENT**

Project Title: Building community resilience to climate change in Papua New Guinea

Expected UNDAF/CP Outcome(s):

By 2022, Papua New Guinea demonstrates improved performance in managing environmental resources and risks emanating from climate change and disasters.

Expected CPD Output(s):

- OUTPUT 3.1: Legislation, policy and strategic plans for climate proofing conservation sustainable use of natural resources and disaster risk management in place.
- 3.1.3: Number of multi-hazard provincial disaster and climate risk assessments that inform development plans, taking into account differentiated impacts (IRRF 5.1.2)
- 3.1.4: Number of plans and sectors that incorporate climate change adaptation, disaster risk management and recovery (mainstreaming).

Executing Agency: Climate Change Development Authority

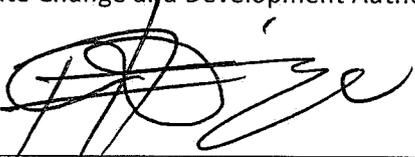
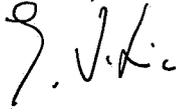
Implementing Partner: United Nations Development Programme

Brief Description

Despite impressive economic growth over the last decade, Papua New Guinea has struggled to translate this increased opportunity into comparable increases in its development indicators. High transaction costs, limited supply chain options and outdated infrastructure and climate risks and climate hazards are the main development challenges that large parts of Papua New Guinea’s population are experiencing. Considering these issues, Papua New Guinea was selected as one of the pilot countries to participate in the Pilot Program for Climate Resilience (PPCR), the programme aims to help countries transform to a climate resilient development path, consistent with national poverty reduction and sustainable development goals. This Project aims to increase Papua New Guinea’s resilience to the impacts of climate change at the community level. To do this, it will support efforts to improve the access of target communities to the resources and knowledge that will assist them develop fit-for-purpose adaptation measures. These measures will not only aim to build disaster preparedness, they will support efforts to improve food and water security, as well as the general health and wellbeing of communities. In doing so, it aims to reduce vulnerability to the impacts of climate change and ultimately improve the socio-economic mobility of beneficiaries.

Programme Period: 2019 - 2022 Atlas Project Number: 00100578 Atlas Output ID: 00103471 Management Arrangement: DIM Gender Marker: GEN2 Start Date: 01 Jan 2020 End Date: 31 August 2021	Total resources required: USD 3,000,000 Total allocated resources: <ul style="list-style-type: none"> • Government: USD 3,000,000 • UNDP
---	---

Agreed by (signatures):

Government	UNDP (Implementing Partner)
Jacob Ekinye Acting Managing Director Climate Change and Development Authority 	Edward Vrkic Deputy Resident Representative United Nations Development Programme (Papua New Guinea) 
Date:	Date:

I. Table of Contents

I.	Table of Contents.....	3
II.	Development Challenge	5
III.	Strategy.....	8
IV.	Results and Partnerships	17
V.	Project Management.....	26
VI.	Project Results Framework.....	29
VII.	Monitoring and Evaluation Plan	32
VIII.	Governance and Management Arrangements.....	35
IX.	Financial Planning and Management	39
X.	Legal Context	43
XI.	Risk Management.....	44
XII.	Mandatory Annexes	47
Annex A:	Agreement between CCDA, Government of Papua New Guinea and UNDP	48
Annex B:	Project Quality Assurance Report.....	58
Annex C:	Social and Environmental Screening Template	64
Annex D:	Risk Analysis.....	73
Annex E:	Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)	76
Annex F:	Terms of References for Project Board and Project Team / PMU.....	83
Annex G:	Milestone based Payment Schedule – ADB template	88
Annex H:	Cost Estimate – ADB template.....	90

List of Acronyms

ADB	Asian Development Bank
AROB	Autonomous Region of Bougainville
APEC	Asia Pacific Economic Commission
BRCC	Building Resilience to Climate Change
CCVA	Climate Change Vulnerability Assessment
CCVAP	Climate Change Vulnerability Assessment Plan
CIF	Climate Investment Funds
DAL	Department of Agriculture and Livestock
DRM	Disaster Risk Management
DSIP	District Services Improvement Program
PF	Focal Point
M&E	Monitoring and Evaluation
ENSO	El Nino Southern Oscillation
GIS	Geographic Information System
GMS	General Management Support
ISS	Implementation Support Service
LLG	Local Level Government
LMMA	Locally Managed Marine Areas
MoU	Memorandum of Understanding
NDC	National Disaster Centre
NFA	National Fisheries Authority
NSMA	National Safety Maritime Authority
OAI	Office of Audit and Investigations
PAP	Protected Area Policies
PPA	Provincial Project Assistant
PPCR	Pilot Program for Climate Resilience
PPMS	Project Performance Monitoring System
PB	Project Board
SBAA	Standard Basic Assistance Agreement
SCF	Strategic Climate Fund
SGF	Small Grants Facility
SGP	Small Grants Program
SPCR	Strategic Program for Climate Resilience
StaRS	Strategy for Responsible Sustainable Development
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNSMS	United Nations Security System

II. Development Challenge

Papua New Guinea (PNG) is a country in transition from lower middle-income and emerging as a regional leader with its impressive economic growth over the last decade. As international experience shows, transition presents both opportunities and challenges. PNG struggles to translate this increased economic opportunity into comparable increases in its development indicators and currently ranks 153 out of 187 on the United Nations Human Development Index. This includes rates of literacy over the last decade that have remained at approximately 60% while life expectancy at birth has remained relatively static at approximately 65 years¹. With its high national development aspirations for its approximately 6.5 million people, vulnerability to volcanic eruptions, earthquakes, tsunamis, cyclones, droughts, and other weather-induced extreme events is equally high.

PNG has already witnessed a warming in annual and seasonal average air temperatures over the last sixty years (1950-2009)². Climate change projections include an increase in the intensity and frequency of days with extreme heat and extreme rainfall. Inter-annual variability in PNG's rainfall is strongly influenced by the El Niño Southern Oscillation (ENSO) phenomenon. During El Niño years, droughts affect the normally wet tropical climate of the country. The 1997 and 2016 ENSO events brought intense drought conditions and subsequent food shortages in parts of PNG, among them atoll areas. This affected over 500,000 people in 1997 and over 2.5 million people in 2016 (EM-DAT)³. As a result of continued climate change, such past extreme El Niño events are projected to increase in frequency, increasing the likelihood of more frequent droughts⁴ and frosts, and associated impacts on local agricultural production and food shortages in multiple regions of PNG. Many remote and subsistence communities in atoll and the islands of PNG are particularly vulnerable to these consequences of climate variability and change. In addition, majority of the infrastructure, urban centres, rural populations and businesses are situated in zones of high exposure to climate change impacts - flood prone valleys and river basins, coastal areas and low-lying islands or steep highlands susceptible to landslides.

It has been estimated that an average of USD\$85 million annual losses occur as a result of earthquakes and tropical cyclones in PNG, and the country has a 50 percent chance of experience a loss exceeding USD\$700 million in the next 50 years (World Bank, 2011). Prolonged rainfall spells associated with La Niña often lead to flooding, landslides and inundation, as well as intense rain from cyclones. The most recent assessment that has credible estimates of expected future losses in PNG is the Country Risk Profile for Papua New Guinea prepared by the Pacific Catastrophe Risk Assessment and Financing Initiative in September 2015. The Country Risk Profile presents results of an extensive study conducted based on a comprehensive inventory of population and properties at risk based on tropical cyclone that leads to flooding, hazards at sea and landslides in the country. The study estimated the replacement cost based on the exposure of the country to natural hazard at 492 billion USD based on impact to buildings, infrastructure assets, and major crops. 80% of the value represent exposure of buildings (residential, commercial public and industrial buildings located in PNG including Lae, Madang, Rabaul and Kokopo) and 13% represents infrastructure assets such as major ports, airports, power plants, bridges, and roads. Major crops, such as coconut, palm oil, taro, sugar cane and many others were also included in the valuation.

During the 21st century, PNG is expected to experience increasing impacts due to climate change, including an increase in annual and seasonal mean rainfall levels, higher land and sea surface temperatures and higher mean sea levels⁶. These changes in climate are expected to cause the following multiple hazards and impacts in PNG:

1

2 Pacific Climate Change Science Program.

3 CRED Emergency Events Database (EM-DAT) http://www.emdat.be/advanced_search/index.html

4 Cai et al 2014. Nature Climate Change. DOI: 10.1038/NCLIMATE2100

5 Country Risk Profile: Papua New Guinea. 2011. Pacific Catastrophe Risk Assessment and Financing Initiative

- More intense rainfall periods leading to higher risks of landslides and riverine flooding
- Elevated convective environments which lead to hazardous sea conditions
- Warming temperatures and more intense rainfalls affecting existing food production systems
- Higher storm surges, coastal flooding, and salt water intrusion due to sea level rise
- More frequent and/or stronger droughts (and accompanying frosts) driven by a higher frequency and/or more intense El Niño events.

In the next 50 years, Papua New Guinea has a 50% chance of experiencing a loss exceeding 700 million USD and casualties larger than 4900 people, and a 10% chance of experiencing a loss exceeding 1.4 billion USD and casualties larger than 11,500 people (Annex XIIa) as a result of multiple hazards. Accessible and relevant climate information and early warning systems for such multi-hazard contexts as found in PNG are thus integral elements to the foundation of a robust and sustained effort to anticipate and address these climate change impacts on vulnerable populations, food production systems, businesses and urban and rural infrastructure investments. In particular, the interaction and potentially compounding impacts of multiple hazards together (e.g. landslides and flooding cutting transport links to areas affected by drought, further reducing food security), point to the need for a multi-hazard approach to addressing climate change impacts in PNG.

In this context, these 24 island and atoll communities identified in the five target provinces of East New Britain, Milne Bay, Madang, Morobe and Manus for this project are amongst those most vulnerable to natural climate induced hazards. According to PNG’s National Compatible Climate Development Management Policy (NCCDMP), the five target provinces identified for this Project are amongst those most vulnerable to natural and climate induced hazards almost making them uninhabitable⁷. The National Disaster Centre (NDC) has further confirmed (Refer table 1) that these five target provinces have been assessed as having either a ‘very high’ or ‘high’ exposure to sea-level rise, something this Project is seeking to address for target communities.

Estimated Level of threat of common hazards in PNG*

Provinces	Natural Hazards												Total	Avg
	1 Volcanic Eruption	2 Earthquake	3 Landslide	4 Soil Erosion	5 Tsunami	6 Flood	7 Rising Sea Level	8 Storm Surge	9 Cyclone	10 Drought	11 Frost	12 Fire		
1 Western	0	1	2	4	1	4	4	3	4	4	1	4	32	2.67
2 Gulf	0	1	3	3	1	4	4	3	4	2	1	2	28	2.33
3 Central	0	2	2	3	1	4	4	3	4	4	2	3	32	2.67
4 NCD	0	2	1	1	1	2	2	2	3	2	0	4	20	1.67
5 MBay	1	2	2	1	3	2	4	3	4	4	1	3	30	2.50
6 Oro	4	3	2	3	3	4	4	3	4	4	1	4	39	3.25
7 SHP	0	1	4	4	0	3	0	0	2	4	4	2	24	2.00
8 Enga	0	2	4	4	0	4	0	0	1	4	4	3	26	2.17
9 WHP	0	2	4	3	0	3	0	0	1	4	4	3	24	2.00
10 Simbu	0	2	4	4	0	3	0	0	1	4	4	3	25	2.08
11 EHP	0	2	3	3	0	3	0	0	1	4	3	2	21	1.75
12 Morobe	1	4	4	4	4	4	4	4	3	3	2	4	41	3.42
13 Madang	4	4	3	2	4	4	4	4	1	2	1	2	35	2.92
14 ESP	3	4	2	2	4	4	4	4	1	1	1	1	31	2.58
15 Sanduri	1	4	2	2	4	3	3	2	1	3	3	1	29	2.42
16 Manus	1	4	2	2	4	3	4	4	1	3	1	1	30	2.50
17 WNB	4	4	3	3	4	4	3	4	2	3	1	1	36	3.00
18 ENBP	4	4	3	3	4	4	3	4	2	3	1	1	36	3.00
19 NIP	1	4	3	3	4	3	4	4	2	3	1	1	33	2.75
20 AROB	4	4	2	2	4	2	4	4	4	3	1	1	35	2.92
21 Hela	No data made available													
22 Jiwaka	No data made available													

Keys: VH - Very High Vulnerability 4
H - High Vulnerability 3
M - Moderate Vulnerability 2
L - Low Vulnerability 1
NE - Non-existent Vulnerability 0

* Data from NDC

Table 1: Estimated levels of threats of common hazards in PNG

National Policies and Frameworks in support of Climate Change Adaptation

PNG was the first country to submit its Nationally Determined Contribution (NDC) to the UNFCCC on in March 2016 and certified the Paris Agreement Implementation Act in October 2016. The intended NDC (INDC) of the Government of PNG (GoPNG), through various national strategic plans and policy submissions to the UNFCCC, emphasizes the need to improve institutional integration and capacities, research and early warning systems in order to anticipate and adapt to these multiple hazards and impacts driven by climate change. Papua New Guinea's Second National Communication to UNFCCC identified improving national institutional capacity in climate risk assessment, knowledge sharing mechanisms and supporting vulnerable groups in adaptation planning as key pillars of the national climate change strategy.

Existing development plans that are crosscutting and include climate change adaptation needs are the National Climate Change Development Management Policy and the PNG Vision 2050. Under Phase 1 of the Climate Investment Fund's Pilot Program for Climate Resilience (PPCR), the Government of Papua New Guinea and other stakeholders had the opportunity to identify impediments to integrating climate change adaptation into development planning and budgetary processes, and the enabling activities that will facilitate this change⁸. In the second phase of PPCR, the Government has developed the Strategic Programme for Climate Resilience (SPCR). The SPCR is designed to support the implementation of PNG's national strategies, outlined in its Vision 2050, Development Strategic Plan (DSP), the MTDPIII, and Papua New Guinea's Climate Compatible Development Strategy (CCDS) to make its development investments climate resilient, and to facilitate climate compatible development. The overall outcome of the SPCR will be the enhancement of PNG's resilience to climate change through improved access to resources, knowledge and tools and climate resilient infrastructure at the national, sectoral, district and community levels.

Clearly, climate change has the potential to reverse the country's hard-earned development gains and could compromise its ability to achieve its plans for a prosperous, peaceful, and secure growth. As such, climate change response ought to be mainstreamed into government policy, planning, and programming to help improve the resilience of communities and mitigate increasingly severe climate change impacts. This prompted formulation of PNG's significant national climate architecture comprising both policy responses and associated legislation. PNG signed the UNFCCC on 13 June 1992 and ratified it on 16 March 1993. It further signed the Kyoto Protocol on 2 March 1999 which was ratified on 28 March 2002.

In November 2015, pursuant to the Climate Change Management Act (CCMA 2014), the Office of Climate Change and Development became a full statutory authority under the name of the Climate Change and Development Authority (CCDA). The CCMA (2014) Act provides the regulatory framework to, among other things:

- Promote and manage climate compatible development through climate change mitigation and adaptation activities.
- Implement any relevant obligations of the state under applicable rules of international law and international agreements related to climate change.
- Establishes Papua New Guinea's Designated National Authority (NDA) or an equivalent entity for the purposes of the Kyoto Protocol and any such other or subsequent arrangements or agreements made under the Kyoto protocol.

The Act also allows for the establishment of the National Climate Change Board. Part VI of the Act establishes provisions for climate change adaptation, including specific provisions on developing climate change adaptation plans, adaptation standards and making regulations regarding adaptation. The Act also provides specific adaptation priorities, which were categorized into the following nine adaptation priorities: coastal

flooding and sea-level rise; inland flooding; food insecurity; cities and climate change; climate induced migration; damage to coral reefs; malaria and vector-borne diseases; water and sanitation; and landslides.

On 22 April 2016, PNG signed the Paris Agreement that was ratified on 21 September 2016. Following this, PNG certified the Paris Agreement Implementation Act in October 2016. This was a demonstration of its leadership on climate action globally to be among the first countries in the world to submit its nationally determined contribution (NDC) under the Paris Agreement, to the UNFCCC Secretariat on 29 March 2016.

In support of PNG's commitment to the global climate change efforts, a range of key high-level national development plans have advocated for climate change action and adaptation as a critical cross-sectoral issue. These include: i) Vision 2050; ii) Third Medium-term Development Plan (MTDP3); iii) Strategy for Responsible Sustainable Development (StaRS); and iv) Climate Compatible Development Strategy (CCDS).

Despite the government's best efforts, key impediments at all levels of the society to facilitate transformational change toward climate-resilient development include: i) inadequate human, technical, and financial resources; ii) limited knowledge and awareness on climate change risk management; and iii) poorly designed infrastructure; iv) ineffective inter-government agencies' communication and coordination; and v) limited climate resilient opportunities for communities.

III. Strategy

Planning Process

Papua New Guinea is prone to natural disasters. It's current risk profile for such events places it among the world's ten most vulnerable countries. In pursuit of increasing resilient efforts to impacts of climate, this project falls under the broader Building Resilience to Climate Change programme implemented by the CCDA. It is expected to increase resilience of the communities to the impacts of climate change and climate variability. This includes developing capacities of vulnerable islands/atoll communities, government agencies, and civil society organisation to plan and respond to the impacts of climate change. The project specific objective is to deliver interventions that support greater climate change adaptation in the remote coastal and island communities.

The project strategy is guided by the CDDA's Climate Change Development Strategy (CCDS) which is aligned to the national development frameworks being Vision2050, Development Strategic Plan (2010-2030), MTDP3 and STaRs. Furthermore, NCCDMP and CCMA have already set a strong foundation for adaptation planning in PNG. It draws on the capacity and expertise of a broad range of stakeholders including various national and subnational public and private sectors, donors, civil society organizations and communities. This includes building on recommendations on priorities from consultations with various stakeholders and the lessons learnt from past and ongoing climate change adaptation initiatives to promote an integrated climate risk management at the community level.

To increase Papua New Guinea's resilience to the impacts of climate change at the community level this project will support efforts to improve the access of target communities to the resources and knowledge that will assist them develop fit-for-purpose adaptation measures. These measures will not only aim to build disaster preparedness, they will support efforts to improve food and water security, as well as the general health and wellbeing of communities. In doing so, reduction is expected in vulnerability to the impacts of climate change and ultimately improve the socio-economic mobility of beneficiaries.

Among the key impediments that this Project will endeavor to address are:

- The lack of climate adaptation assessments, planning and resilience measures accessible to communities, particularly those most remote.
- Initiatives that will assist communities build their resilience to climate change and the increase in associated natural disasters and hazards.
- Improved management of in-shore fisheries, and mangrove and reef ecosystems, all a critical component for the food security and natural defenses against climate change available to island and atoll communities.
- Addressing capacity limitations through greater access to training and knowledge and the mobilisation of organic community structures, associations, and committees.
- Funding constraints to address relevant community action by supporting communities develop appropriate plans and proposals that Government, development partners and other stakeholders can finance.

UNDP as a Partner of Choice

UNDP has and will continue to leverage its comparative advantages to support the development of specific measures for climate-change adaptation and resilience-building in PNG. This is based on experiences from established partnerships with public, private, donor and civil society organizations. Specifically, UNDP's growing climate change portfolio has over a decade of experiences in delivering national and subnational interventions on promoting climate resilient communities. Increasingly, there has been growing interest on the linkages and synergies with disaster risk management initiatives.

UNDP will adopt a 'life-beyond-activity' approach to help better position communities adapt to the impacts of climate change on their islands, atoll and coastal environments.

To achieve this, we will place people at the centre of our efforts. Communities will be in the driving seat during assessments, consultations and decision taking processes. This will ensure ownership and sustainability of project interventions.

Our interventions to support the successful delivery of the eight identified tasks and associated outputs will begin with a consultative process, including inception workshops in the four target provinces and Bougainville.

This will ensure our efforts to support communities will be contextualised to where they are being delivered and how target beneficiaries may best benefit from project interventions. This will allow CCDA and UNDP to tailor efforts to support communities to their unique circumstances, which while sharing common climate challenges, will vary from one community to the next.

We will use the vulnerability assessments to identify relevant risks in all their dimensions – environmental, social, economic.

These assessments will pay attention to degrees of risk, degrees of vulnerability, degrees of urgency, cost effectiveness and the potential for success. This will then be used to inform the design of adaption projects.

Drawing on UNDP's vast national and international experience, we will work with communities to identify appropriate responses. In developing these responses with communities, we will consider three criteria. These will be whether the:

- i) Responses being proposed are 'fit-for-purpose' considering the requirements of the community and particularly the challenges they face.
- ii) Actions are sustainable, particularly whether they are cost effective and ones that communities and Local and Provincial Governments can maintain into the longer-term.
- iii) Solutions communities hope to achieve are gender-inclusive and that all members of the community will benefit from their intended outcomes.

To accommodate demographic change and the growing intensity of climate impacts, UNDP is engaged as an implementation agency to provide community facilities services in support to the Climate Change Development Authority, the executing agency to ensure solutions and responses are scalable where possible or feasible.

The experiences contributed to UNDP's ongoing partnership with Climate Change Development Authority and National Disaster Centre for over a decade. UNDP remains a critical partner on climate change in PNG with proven community-based climate change adaptation interventions through its ongoing Small Grants Programme under the Global Environment Facility and recently completed Adaptation Fund funded project on *"Enhancing Adaptive Capacity of Communities to Climate Change-related Floods in the North Coast and Island Region of Papua New Guinea"*. Similarly, the project on *"Strengthening Disaster Risk Management in Papua New Guinea"* highlighted the strong linkages between climate and disaster risks management.

Finally, UNDP's extensive networks at the subnational level communities will be utilized to support convening of stakeholders to facilitate and coordinate implementation of project activities. This includes the coordination role of either the Provincial Climate Change Committees or Provincial Disaster Committees. Additionally, UNDP will build on its various work on provincial climate change adaptation⁹ and disaster risk management¹⁰ plans. In this respect, UNDP would ensure that the five provinces selected would serve as critical points of convergence for development initiatives that would require or benefit from the assessments that will be conducted to prepare adaptation plan and disaster management plans at the provincial and community level. These plans would also address issues such as gender inequality, poverty, widening economic disparity, lack of opportunity for youth, geographically isolated groups and communities affected by hazards. Adaptation measures will support the resilience of subsistence-level agricultural communities, which are among the country's most vulnerable groups.

UNDP project partner name	Activity description	Potential benefit from the activity
AF	Establishment of Provincial Climate Change Committee	The PCCA could advise on the climate change a adaptation intervention for each island/atoll community.
	Production of Provincial Adaptation Plans	The provincial adaptation plans can be used to guide planning and budgets to prioritize climate change adaptation.
DRM	Development of National Disaster Risk Reduction Framework (NDRRF) 2017 - 2030	The NDRRF 2017 – 2030 is in line with the Sendai Framework for Disaster Risk Reduction (SFDRR) 2015 – 2030. The document

⁹ Provincial Climate Change Adaptation Plans were development for East Sepik, Madang, Morobe, New Ireland and Northern Provinces.

¹⁰ UNDP, *Disaster Risk Management in Papua New Guinea*, 2017.

		guides the implementation of Disaster Risk Reduction in the country that aligns with the global framework.
DRM	Multi Hazard Risk Assessment conducted for the 5 provinces namely Central, Chimbu, Madang, Western Highlands, and the Autonomous Region of Bougainville.	Technical working group comprised of the PNG technical team was identified. Capacity building for the technical team. The results of the multi hazard risk assessment is useful for the development of the provincial disaster risk reduction plans and its implementation at the community level. The four provinces and the Autonomous Region of Bougainville have used the results of this activity to draft provincial/regional DRR plans. The activity has a great potential for scaling up into other provinces because the results identify most vulnerable or high-risk areas that informs development planning. This activity brought together all partners and stakeholders to validate the results and to use the results in their DRR planning.
DRM	Development of PNG's first National Disaster Loss Database	The database is useful for risk informed planning and decision making. It also helps to identify hazards and the losses on infrastructure, people and economy.
DRM	DRM Capacity Assessment conducted for Central, Chimbu, Madang, Western Highlands, and the Autonomous Region of Bougainville. The assessment also covers the National Disaster Centre.	This activity helps to identify the capacity in terms of Human, Institutional and Resources that the Provincial Disaster Offices and the NDC has. This will help to design the capacity development plan for the NDC and the 4 provinces and the Autonomous Region of Bougainville.
DRM	Development of Standard Operating Procedures covering natural disasters	Standard Operating Procedures (SOPs) developed under the project covers natural hazards such as volcano eruption, flood, landslide, earthquake, tsunami as well as fire safety options reporting procedures. Once endorsed by the National Disaster Committee, the SOPs will be very useful for effective disaster

		preparedness and response in the country.
NAP	Swift action in putting in place zoning laws to curb further economic development in the zones where coastal flooding the inland flooding are considered climate hazards due to increased sea temperature and acidification, destroying Papua New Guinea's coral reefs, the fifth largest in the world.	NAP Technical working groups have identified potential and adaptation initiatives, which are designed to test new concepts as well as programs which involve scaling up and rolling out solutions that have already been developed elsewhere. Given resource constraints, adaptation initiatives were respectively prioritized based upon protecting people and economy from climate-related hazards. BRCC project could tap into these adaptation initiatives related to climate hazards and test the concepts to quantify the risks and identify other adaptation options.
NAP	Coastal early warning system for vulnerable communities	BRCC could collaborate with NAP to set up early warning systems for the remote island communities.
NAP	Coastal flooding and rising sea leaves increases salinization and floods damaging fragile communities and cultures form Carteret Atolls and Duke of York Islands making them for them uninhabitable. NAP will be looking at possibilities to have the inhabitants evacuated.	NAP and BRCC could collaborate in deciding and developing the necessary change adaptation interventions for the Carteret Atolls and Duke of York Islands.

In addition to ensuring that the five selected provinces act as points of convergence for maximising development outcome, UNDP would also be able to provide CCDA with the following:

1. **Highest standards of transparency (Most transparent development agency in the world according to the 2014 and 2016 International Aid Transparency Index).**
2. **Cost efficiency and timely delivery of project outputs (i.e. access to global network of service providers and experts, long-term agreements, direct contracting).**
3. **Clear strategy to build capacity at the national and sub-national level so that it can operate independently of external support:** UNDP will focus on building capacity and initiating reforms that will enable government to gradually take on full operational functions through a clear exit strategy, Considering the limited timeframes for the Project's implementation and the remoteness of selected target communities, UNDP will use a highly participatory approach for better transferring new knowledge and skills to communities and counterparts.

Theory of Change

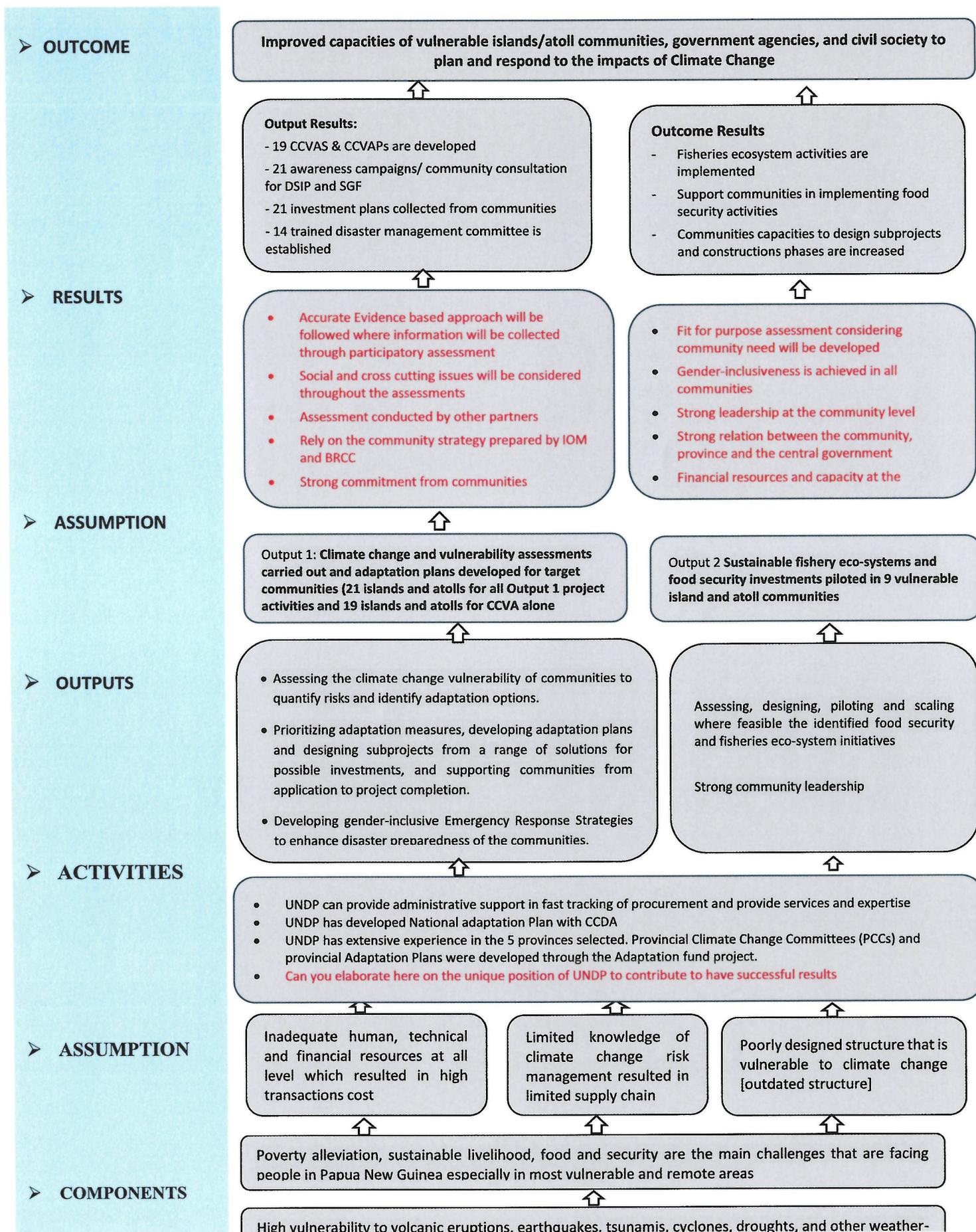
The intended project realizes that the impacts of climate change and climate variability continues to impact the most vulnerable and remote communities and affects lives and livelihoods at the community level in Papua New Guinea. Limited access to basic services, limited opportunity for alternate livelihoods because of the remote locations makes them very vulnerable, experiencing growing stress, social problems, increased displacement, disputes over land ownership, gender and family violence and over reliance on local social safety-nets to survive as their livelihoods is continuously being impacted by climate change and climate variability.

This project further responds to an innovative approach informed by years of experience and clear deep understand of the context in which this work will be delivered. The key impediments that induce increased vulnerability to impacts of climate change affecting socio-economic mobility of remote island and atoll communities.

- a) **Lack of climate adaptation assessments, planning and resilience measures** accessible to communities, particularly those most remote
 - No climate adaptation assessments have been undertaken for planning and resilience measures with CCDA as lead coordinating agency
 - CCDA lacks appropriate technical capacity, tools and approaches to implement climate resilience initiatives, at the sub-national level and especially at the community level.
- b) **Limited sharing of climate data**, resulting in lack of prioritized actions in priority sectors
 - Although with the reorganisation of CCDA, the central government in PNG has made advancements in raising awareness, however general awareness is still lacking at the provincial and local level governments, consequently vulnerable population (farmers and women) are unaware of climate related hazards and means to protect their livelihoods
 - Weather and climate related data are regularly collected by the National Weather Service and sectoral research institutions, NARI, however, they are not readily available for analysis and application by priority sectors due to a lack of centralized information systems.
- c) **Inadequate climate change adaptation budget allocations** for adaptation needs because of limited integration of climate change concerns into planning and budgeting
 - Funding constrain to address relevant community action by supporting communities develop appropriate plans and proposals that Government, development partners and other stakeholders can finance.
 - DRR is well established at national and sub-national level and attracts government investment, however CCA are not integrated into the National Disaster Mitigation Policy.

To manage the impediments, the project proposes the interconnected outcomes, that aim to effectively support resilient initiatives for vulnerable communities.

Theory of Change diagram



Technical Approach and Methodology

UNDP will follow an evidence-based approach where information will be collected through participatory assessments.

UNDP will pay specific attention to cross cutting issues such as gender and youth inclusion. We will ensure their empowerment in a way that facilitates their participation in sustainable actions. BRCC's Gender Action Plan will be used to guide development of a project specific gender mainstreaming plan.

UNDP, under number of Climate Change and Disaster Risk Reduction Projects have contributed towards building the capacities of Government and local communities to better prepared and respond to the impacts of disasters exacerbated by climate change. Some of the activities undertaken through the Disaster Risk Management Project in Central, Madang, Chimbu, Western Highlands and the Autonomous Region of Bougainville are as follow:

- Development of National Disaster Risk Reduction Plan 2017 – 2030
- Multi Hazard Risk Assessment Conducted for the 4 targeted provinces and Autonomous Region of Bougainville.
- Disaster Risk Reduction Plans developed for the 4 Provinces and Autonomous Region of Bougainville.
- DRM Capacity Assessment conducted for the 4 Provinces including Autonomous Region of Bougainville and National Disaster Centre
- Development of first ever National Disaster Loss Database for Papua New Guinea
- Development of National, Regional and Provincial Disaster Recovery Plans for Papua New Guinea, Autonomous Region of Bougainville, and Western Highlands Province respectively,
- Development of Disaster Management Plan for Western Highlands Province.

The lessons learnt and best practices from these activities can be applied to the island and atoll communities under this project.

Additionally, the well-established CCDA's Technical Working Groups will serve as a knowledge sharing platform and replicated at the subnational level through either the Provincial Disaster Committees or Climate Change Coordination Committees to support successful implementation of the project interventions within five provinces (Autonomous Region of Bougainville, East New Britain, Manus, Milne Bay and Morobe) and their selected communities totaling 24 islands and atolls. These selected communities identified for the implementation of the adaption measures within the provinces were chosen based on the findings from climate change vulnerability assessments (CCVA) during the design of BRCC. To consider latest national and subnational development changes, consultative meetings are being planned by CCDA in collaboration with UNDP which will be during the project's inception phase.

With the project's objective and focus on enhancing communities' resilience to climate change impacts, expected outputs are divided into outcomes and outputs as described hereunder.

Outcome 1: Climate change and vulnerability assessments carried out and adaptation plans developed for target communities

- Output 1: Climate risk and vulnerability assessments undertaken
- Output 2: Climate change vulnerability adaptation plans developed
- Output 3: Emergency response strategies developed

The methodology will be technically rigorous with the emphasis on brevity and utility to quantify risks and identify adaptation options that can be integrated into subproject designs. Lessons learned from the assessments conducted previously in the two islands will be taken into account while developing the new CCVA methodology while Vulnerability Mapping and Climate Change Adaptation Plan will need to provide more information, including roles and responsibilities, so that it can be used to conduct monitoring and evaluation exercises on the islands longer-term. Under this outcome, UNDP will utilize its global experience in developing climate change and climate risk vulnerability assessment tools which would serve as reference materials for the development of the CCVA methodology. A number of these tools have already been applied in vulnerability mapping of communities in PNG that are applicable in this context.

Outcome 2: Sustainable fishery eco-systems and food security investments piloted in 9 vulnerable island and atoll communities

- Output 4: Local communities assisted to prepare funding applications for identified investments
- Output 5: The implementation of fisheries ecosystems activities in the communities supported
- Output 6: The implementation of food security activities in the communities supported
- Output 7: Necessary support to communities during subproject design and construction phases provided

This outcome will support efforts to improve the communities' access to the resources and knowledge that will assist them develop fit-for-purpose adaptation measures. These measures will not only aim to build disaster preparedness, they will support efforts to improve food and water security, as well as the general health and wellbeing of communities. In doing so, it aims to reduce vulnerability to the impacts of climate change and ultimately improve the socio-economic mobility of project beneficiaries

Outcome 3: Capacity building and knowledge sharing

- Output 8: Capacity building and knowledge sharing provided

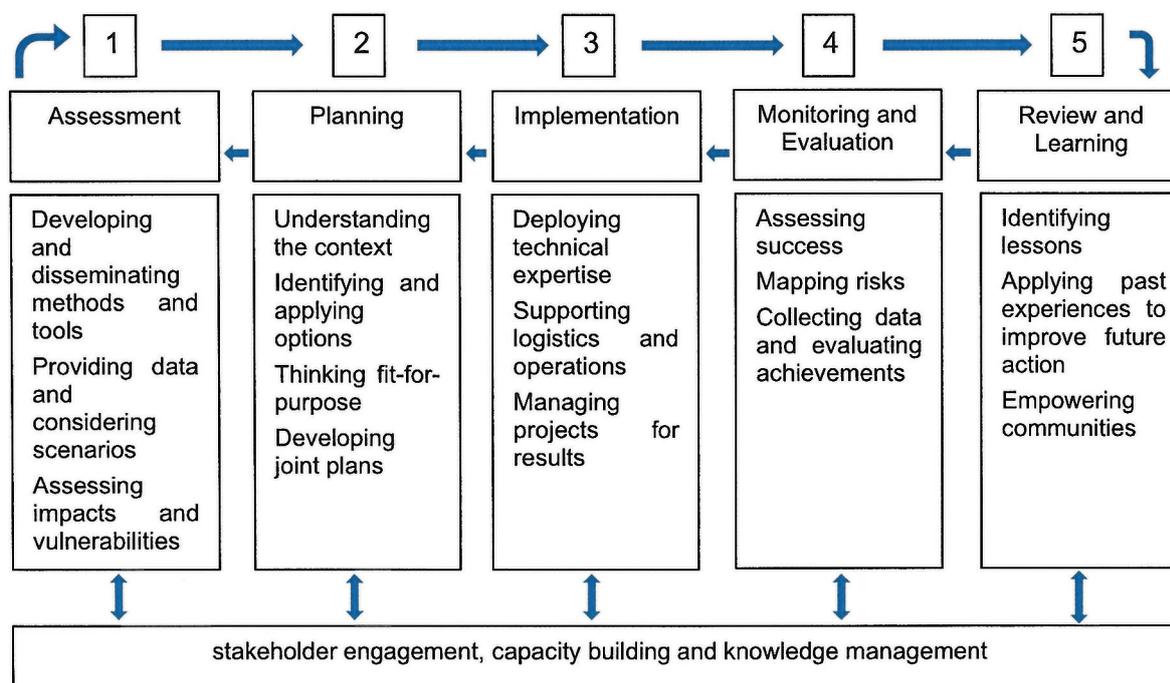
The project's capacity building and knowledge sharing will ensure that the lessons learnt and best practices on past and ongoing climate change adaptation and disaster risk management initiatives as well as results from the above outcomes and outputs will be disseminated locally, regionally and globally. In particular, the aim at the local level is in strengthened awareness and ownership of adaptation and climate change-related risk reduction processes that will support the replication of outputs through locally built capacity.

Furthermore, the combined results of the above outcomes will be a set of established and tested local adaptation measures that are supported by the institutional capacity, awareness and national policies to increase and maintain the level of resilience to climate change impacts in the targeted areas and at a national level.

The Project includes an inception phase of one month. Mobilization to provinces will be organized during the 2nd month of implementation. The remaining time will be utilized for the implementation of activities in the provinces.

UNDP's overall work under the Project will be guided by the simple five-step framework that addresses assessment; planning; implementation; monitoring and evaluation; review and learning, all of which is founded on stakeholder engagement, capacity building and knowledge management. The nature of the framework encourages constant feedback and learning from lessons learnt to improve future performance.

The following chart demonstrates this business process in action.



IV. Results and Partnership

Expected Results

The project aims increase the PNG Government’s ability to achieving resilience to the impacts of climate change at the community level. It achieves this by supporting the Government at the National and Provincial levels to mainstreaming climate resilience into development planning and addressing country priorities that focus on vulnerable communities in the Autonomous Region of Bougainville (AROB) and the four participating provinces of East New Britain, Manus, Milne Bay and Morobe comprising 21 priority vulnerable islands/atolls.

This will involve strengthening of existing frameworks and systems, enhance capacities of key stakeholders effectively contribute to the adaptation planning process, and establish a mechanism to sustain the process beyond the life of the project.

The project’s primary beneficiaries are the Climate Change Development Authority, the sectoral representatives and non-government stakeholders in the Adaptation Technical Working Group. The project will also benefit following key sectors: agriculture, health, transport and infrastructure.

In supporting gender-sensitive adaptation planning in PNG, the approaches, tools, action plans, consultations and analyses throughout the various outcomes will take into consideration resilience of men and women in response to climate change. The inclusion of gender sensitive approaches all Outcomes will be undertaken through a participatory and inclusive process. Following successful completion of this project and informed by results of the expected outcomes, will be handed over to CCDA.

The description of sub-outcomes under each outcome is provided below

Outcome 1: Climate change and vulnerability assessments carried out and adaptation plans developed for target communities

Output 1: Undertaking climate risk and vulnerability assessments

UNDP will draw on existing climate change vulnerability assessment methodology, which has already been developed and applied by the BRCC team. During the inception phase, UNDP will work with the CCDA and BRCC team to further streamline the assessment methodology to reduce burden on communities and facilitate a rapid assessment approach. UNDP will leverage from the experiences and lessons learnt from similar work already delivered by the CCDA and BRCC team.

Working with CCDA and the BRCC team, UNDP will then conduct these assessments in the remaining 19 communities where assessments are yet to be completed. These assessments will pay particular attention to degrees of risk, degrees of vulnerability, degrees of urgency, cost effectiveness and the potential for success. Each assessment team will comprise, where appropriate and possible, representatives from BRCC-PISC, provincial and district administrations, local level government, civil society and Provincial representatives of the NFA, Health, DAL, NARI and PDCs. Representatives from other technical agencies will also be engaged to provide technical advice where possible.

UNDP will work in close consultation with respective provincial administrations, local levels of government and DDAs to ensure all stakeholders are appropriately consulted and able to inform the mapping of vulnerabilities and associated risks to communities. As required by the Project, these will include sector-specific assessments namely, marine habitats, health, food and water security. Beyond this, particular attention will be given to the social dimensions of these vulnerabilities and specifically how women, children and the elderly are affected.

Considering the character of target communities and the importance of ownership in the sustainability of response actions, assessment teams will work closely with communities, for example through focus group discussions, key informant interviews on discussing and identifying priorities and potential adaptation investments to address the challenges each community faces.

Assessment teams will work with the BRCC PISC and CCDA to support Provincial Project Assistants and other Provincial Government personnel to share knowledge and lessons learnt.

The assessment process will be informed by assessment conducted by BRCC on some sites and the BRCC Gender Action Plan and necessary measures will be established to ensure women are able to contribute their views to the assessment findings and recommendations. In the interest of time, baselines can be developed from assessment BRCC has conducted on some sites.

The vulnerability assessment results will be presented and discussed with community members, guided by necessary photos, this list will be turned into a "Menu of Adaptation Options", which can be used as a simple menu during community consultations. These adaptation measures will be prioritized jointly with

Through consultations and collective learning, communities will be better placed to develop their CCVAPs which will include the final selection of priority activities. The existing CCVAP plan template will be further adapted for use during the inception workshops. Together, this will enhance the capacity of local communities to incorporate their priority activities into local, district and ultimately provincial development plans. It will make it easier for respective Members of Parliament to identify opportunities to use their DSIP and which investments could be financed through SGF, and possibly other development partners. For the mainstreaming purposes, UNDP will deploy the “Methodology to Mainstream Climate Change Adaptation to Development Plans”, developed jointly with CCDA and applied in five provinces under Adaptation Fund project.¹¹

The results of these community consultations will be further discussed at a knowledge sharing workshop in each of the provincial capitals jointly with Provincial Authorities and relevant departments. This will assist in prioritizing feasible solutions to address vulnerabilities in target islands and atolls. Again, a robust cost benefit analyses will be applied during this prioritization exercise.

In order to facilitate robust data collection and analyses, UNDP will use the ‘KoBo Toolbox.’ The KoBo Toolbox, developed by the Harvard Humanitarian Initiative, is an open source suite of tools that was built to address gaps in data collection and analysis. This tool was introduced by UNDP to the four assessment teams during drought assessments of 2015-2016 in PNG. Its use helped reduce time spent on data collection and analyses by 75% or from four weeks to one week.

Outputs and deliverables:

- 21 climate change vulnerability plans
- 21 investment plans prepared for communities
- 21 community consultation reports
- 21 gender responsive disaster risk management strategies
- 19 Hazard Maps and Emergency Response Plans for target areas

Output 2: Developing climate change vulnerability adaptation plans

The findings of these vulnerability assessments will be used to develop community adaptation plans. BRCC team has already developed a template plan and supported a number of communities to develop their plans. This template will be reviewed by firm that will be contracted during the inception phase of the project and will be applied in the remaining number of communities. The adaptation plans will be shared with UNDP’s Small Grants Project team to integrate specific interventions for possible future funding under this program aspect of UNDP’s broader portfolio approach.

Output 3: Developing emergency response strategies

¹¹ CCVAP step by step process is developed by BRCC is referenced when planning

Together with Provincial Administration officials and Provincial Disaster Coordinators, UNDP will support communities to establish and train community-based Disaster Management Teams by drawing from lessons learnt and best practices from the DRM and the Adaptation projects. This will be done in close consultation and collaboration with the Disaster Risk Management Project team from UNDP and the National Disaster Centre to ensure there is better coordination so that the lessons learnt and best practices derived from the DRM Project are used for the success of the activity that contributes to the greater impact to the targeted atoll and island communities. Involvement of the DRM team at UNDP and NDC is vital for sustainability purposes. These teams will be important in assisting communities with their preparedness efforts and assisting in times of crisis, both locally and as a point of outreach, for Provincial and National authorities.

The NDC approved training materials, tools and other resources together with the disaster management related manuals developed by BRCC team will be used by UNDP for application at the community level. These manuals developed by BRCC team will be reviewed and finalized during the inception phase. UNDP will lead community consultations and develop hazard maps with the appropriate emergency response plans. This process will include the development and/or adaptation of existing Standard Operating Procedures for each disaster type identified for the communities. Emergency drills will be organized in each community to test the emergency response plans and the communication equipment.

Outcome 2: Sustainable fishery eco-systems and food security investments piloted in 9 vulnerable island and atoll communities

Output 4: Assisting local communities to prepare funding applications for identified investments

Following close consultations with communities, and based on the individual adaptation plans, UNDP will support each community to elaborate applications to be submitted to CCDA and BRCC for further funding by Small Grant Facility or other sources. Based on the existing capacities of the communities, UNDP may consider engaging local NGOs and other partners to support these initiatives.

Output 5: Supporting the implementation of fisheries ecosystems activities in the communities

Community level assessments will be conducted by UNDP looking at the health of fishery ecosystems. These assessments will determine interventions that will support the establishment of Locally Managed Marine Areas (LMMAs) consistent with the national protected area framework and existing national Protected Area Policies. Assessments will be used support the design, development, and implementation of the LMMA marine management plans. These plans will guide a range of adaptation interventions. These will include, but not necessarily be limited to the:

- Rehabilitation and re-establishment of mangroves in coastal shorelines.
- Rehabilitation of coral reefs surrounding vulnerable islands.
- Demonstration of sustainable marine production, processing and marketing initiatives.

In consultation with NFA, UNDP will conduct a range of additional tasks. These will:

- Identify the state of the coastal habitats. For example, the current threats coral reefs, sea-grass beds and mangrove forests face. This work will be used to compile baselines to inform longitudinal studies.

- Interpret potential climate change hazards. For example, the effects of sea level rise, sea water warming and associated coral bleaching, intense storm surge and extended periods of drought that may affect target sites.
- Describe the effects of climate change on coastal habitats and fisheries regarding food supply, production and security as they relate to current lifestyle and socio-economic wellbeing.
- Consult with the local communities, identify priority areas suited for closer management and monitoring under LMMAs. This will include the provision of training to local communities in the management of reef and coastal resources.
- Community monitoring of the reserved areas and assisting in their registration with LLGs.
- Piloting income generating initiatives within the reef ecosystem to improve livelihoods and food security in a sustainable manner.
- Support the local communities in their representation to higher levels of government to respect LMMA activities from over-exploitation.

The support from UNDP to assist communities with the establishment of LMMAs following formal CCDA processes will be provided during the project phase. UNDP understands that some of these processes may require longer period of time, going beyond the lifecycle of the project. In these cases, UNDP will ensure a proper handover is done with the appropriate provincial and national authorities to finalize the registration process.

The activity will be focusing on the following deliverables:

- Nine resource assessment report on fisheries ecosystems.
- Nine LMMAs established, registered and operational with approved management plans being implemented.
- Adaptation measures against climate change in home gardens demonstrated in nine target communities.
- Nine mangrove forest rehabilitation sites demonstrated.
- Three watershed rehabilitation sites demonstrated in communities adjoining target vulnerable islands

Output 6: Supporting the implementation of food security activities in the communities

Nine communities will receive additional support to implement activities on fisheries and food security. UNDP will engage relevant expertise to elaborate appropriate activities to be submitted for funding to CCDA and BRCC team. This expertise will be contracted to fill roles for the Team Leader/DRR Specialist, Deputy Team Leader/NRM Specialist, Fisheries and Food Security experts.

An important first step will be to assess how and when communities struggle with food and water security. As part of this effort, UNDP team will assess associated impacts of health and wellbeing. UNDP will also invest efforts in mapping how these impacts in particular, women and children.

After the initial participatory assessment to identify times and extent of food insecurity, UNDP Team will work with communities to identify options to address heightened periods of food insecurity. In support of this work, UNDP will work with NARI and DAL. With these technical resources, UNDP Team will:

- Carry out a resource assessment on target islands for Output 2 initiatives in consultation with NARI, DAL, LLGs and district personnel.
- Based on farming systems, identify and highlight possible periods of food insecurity for target communities. From this, identify solutions to address periods of food insecurity.
- Consult target communities on these options and assist them in prioritizing more sustainable production, storage and processing interventions deemed technically feasible. This will include pilots among target communities.
- Promote the possible (and broader) adoption of successful techniques among communities through the aforementioned exchanges and field visits.

Once completed, UNDP Team will work to identify longer-term mitigation measures, particularly the feasibility of diversifying livelihoods based on successful work done in other communities around the country.

Outputs and deliverables:

- Nine resource assessment reports on food security.
- Food processing and preservation initiatives piloted in nine island communities (50% women).

Output 7: Providing necessary support to communities during subproject design and construction phases

When the community-level adaptation measures are identified, UNDP will support communities during subproject design, delivery and construction phases. The sub-projects will be designed in line with the appropriate SGF manuals. UNDP will also provide monitoring and evaluation services to ensure projects achieve their intended results.

Outcome 3: Capacity building and knowledge sharing

Output 8: Providing capacity building and knowledge sharing

During the inception phase, the team will deliver preparatory training targeting national-level members of the assessment teams and two representatives from each Province to develop the skills required to enable them to participate in community-level assessments. data collection and assessment; hands-on experience with the assessment methodologies; vulnerability analysis and mapping; and risk management. It will also focus on the practical application of the KoBo Toolkit. Special sessions will focus on mainstreaming climate change adaptation plans into the LLG, district and provincial development plans, where appropriate and feasible.

UNDP will ensure stakeholder engagement and participatory approach is followed throughout the Project; particularly in the mapping of risk, the identification of adaption responses and the delivery of corresponding projects.

During the inception phase, the team will deliver preparatory training targeting national-level members of the assessment teams and two representatives from each Province to develop the skills required to enable them to participate in community-level assessments.

This three-day training will focus on such aspects as: data collection and assessment; hands-on experience with the assessment methodologies; vulnerability analysis and mapping; and risk management. It will also focus on the practical application of the KoBo Toolkit. Special sessions will focus on mainstreaming climate change adaptation plans into the LLG, district and provincial development plans, where appropriate and feasible. Training needs will be mapped out to potentially be sourced out to one technical partner or NGO.

To assist communities in delivering their projects, basic project and financial management trainings will be delivered. This will include how to prepare funding applications, for example, for the SGF. Community-based organizations that have been working under the SGP-funded interventions will also be mobilized to be part of these consultations and trainings.

Through this, we will be able to capture progress and lessons learnt that will inform user-friendly knowledge products that can be used nationally by CCDA and other Government agencies, Provincial Authorities, civil society and other communities.

Outputs and deliverables:

The UNDP team will deliver the following in support of task 8:

- 14 trained disaster management committee (one in each LLG)
- 21 training courses (one in each island) conducted on emergency response.
- 5 Provincial training courses on SGF applications & mainstreaming climate change adaptation.
- 9 community training courses on reef and coastal management.
- 9 community training courses on food security initiatives.
- Final Report with Sustainability Plans.

To ensure targets identified are realised and ownership of the deliverables are prompted, the CCDA will conduct regular review and report on progress, including delivery of outputs, problems, risks and solutions undertaken by UNDP and ensure that the Project Steering Committee will meet on inception, mid-term and near the completion of the assignment to review progress, including follow up actions, consider feedback including lessons learnt and steps towards sustaining outcomes and assessing risks and determining the most appropriate mitigation options available.

Scope

1.1 Climate change vulnerability adaptation plans

Considering the limited time available within which to deliver the Project, consultations required with each community and Provincial authorities, and logistical challenges linked with conducting assessments in 19 sites across five provinces, UNDP will hire a team of experts to work with CCDA and the provincial DDAs to establish and train five teams to conduct assessments in parallel.

1.2 Emergency response strategies

Under the leadership of the team leader, the emergency expert recruited by the project will take a lead role in developing Disaster response strategies in consultation with local communities. A community-based disaster risk management guide developed by NDC and IOM together with the one developed by BRCC team will be used to guide community-based disaster management planning processes. This will include establishing community Disaster Management Teams as outlined under output 3, developing Disaster Management Plans and conducting emergency drills to test the plans in each community. These plans will be gender responsive.

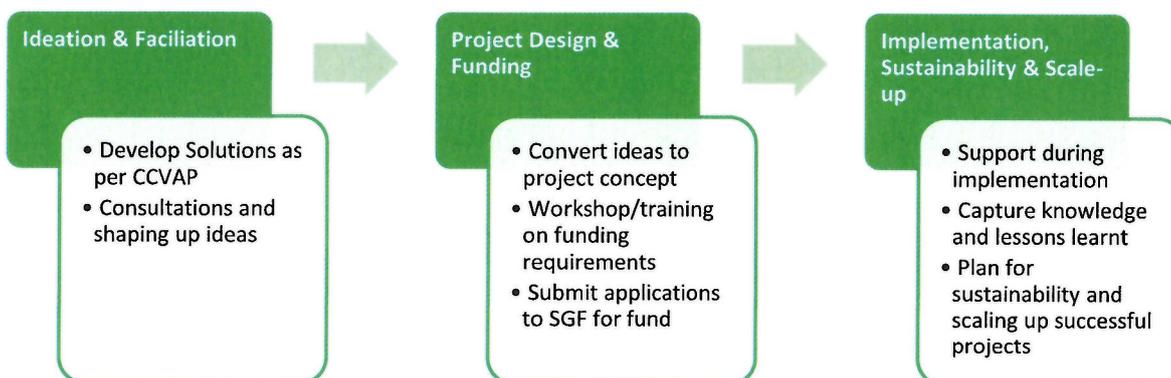
The BRCC Project will finance the installation of communications equipment to improve early warning systems in case of disasters. This will be complemented by a program of training targeted at Local Government personnel and community leaders in emergency preparedness and response, including appropriately developed SOPs for radio communications between islands and PDCs, and where applicable, with NDC, NMSA and possible collaboration with NWS.

As a result of implementing activities 1.1 and 1.2; the project is aiming to deliver the following:

- 19 CCVAs & CCVAPs.
- 21 awareness raising campaigns/community consultations for DSIP and SGF.
- 21 investment priority plans collected from communities.
- 21 Gender-responsive disaster response strategies.
- Establishment of 14 trained disaster management committees (one in each LLG).

1.3 Funding applications:

Following the Climate Change Vulnerability Plans (CCVAP), UNDP will use the Small Grants Facility (SGF) iterative process for communities to identify priority adaptation measures, many of which could be converted into subprojects aimed at increasing the climate resilience of vulnerable island and atoll communities. These projects can translate priorities into measurable and achievable results for single or multiple projects. Following this, UNDP will support eligible beneficiaries prepare funding applications to the SGF by developing M&E plans, ensure proposals where infrastructure is involved, independent verification is obtained by a qualified quantify engineer and organize environmental impact assessments where necessary.



These applications will present projects that translate priorities into measurable and achievable results whether for single projects or multiple prioritized subprojects. In support of these proposals, UNDP team will ensure that infrastructure sub-projects will be competently verified by technical experts and necessary safeguards are undertaken.

Beneficiaries must however submit the grant application following the appropriate SGF manual and meet the eligibility criteria required for subprojects. UNDP's role will be to initiate the process of bottom-up planning in target communities for identified investments which could be financed through the SGF.

UNDP will be open to consider the option of using mechanisms established under the Small Grants Program to support with the smooth implementation of small grants under BRCC SGF. These and other options will be discussed with BRCC and CCDA during the inception phase.

UNDP will ensure monitoring during the implementation of the sub-projects and will see through completion of the sub-projects at the community level.

Under the output 1.3, the project will deliver:

- 5 workshops (one in each province and AROB) in formulating, facilitating and mainstreaming climate change adaptation plans into the LLG, District and Provincial development plans are completed
- Submitted funding applications to the SGF.
- Approved subprojects completed on all 21 islands communities.
- 42 subsequent community consultations during subproject implementation phases (to include operations and maintenance requirements only when necessary with prior approval from CCDA).

Partnerships

From the numerous going activities in PNG related to climate resilience, climate change adaptation mainstreaming there are four (4) initiatives of direct relevance to adaptation planning. The proposed project carefully cooperates with these initiatives to avoid duplication of efforts and maximise its effectiveness. These initiatives are listed as follows:

- An Adaptation Fund supported project, implemented by UNDP, **enhancing adaptive capacity of communities to climate change related floods in the North Coast and Islands Region of Papua New Guinea (CCAF)** seeks to enhance the capacity of riverine communities to make informed decisions and to undertake concrete action to manage climate change-driven hazards. This project has been influential in developing a comprehensive hazard profile for the five (5) pilot provinces and in developing provincial level adaptation strategies. This project focuses on implementing climate resilience on a provincial and community level building capacity within a selective adaptation priority area. The proposed NAP project will complement the results of the CCAF project, of which, one component focused on improving the National Weather Service's early warning system. The centralization of climatic information under the proposed project will rely on this initiative, as well as iCLIM's IKM initiative (please see below). Similarly, selected advocacy materials produced under the CCAF project will also be utilized (as relevant) by the proposed project as part awareness raising and communication campaign.
- USAID funded **Climate Change Ready** project seeks to assist Pacific island countries to incorporate climate change adaptation goals into national policy and support policy implementation, increase access to climate finance and build capacity to implement climate

change adaptation projects. PNG is part of the beneficiary countries participating in the project. Despite the main focus area being integration of climate change priority areas into national policy, work done thus far has been centered primarily on implementation of climate change resilience activities in PNG. Preliminary institutional capacity review conducted by the CC Ready project will be complemented by the proposed project's detailed capacity gaps analysis and subsequent capacity development plan.

- **Readiness Support to strengthen PNG's engagement with the GCF** (Global Green Growth Institute GGGI) aims to build capacity of CCDA in performing its role as the NDA and promote awareness of the GCF, engage stakeholders through consultative processes to develop country programmes on mitigation and adaptation, support direct access to the GCF, and mobilize the private sector in identifying priorities for achieving adaptation and mitigation goals. The proposed NAP project will cooperate with the Readiness project in developing an investment strategy for adaptation in PNG.
- **Climate Change Information and Knowledge Management – IKM (Department of Foreign Affairs and Trade, Australia)** as part of the Pacific Climate Information (iCLIM) project, aims to enhance regional capacity in climate knowledge management across the Pacific region. Partnered with Griffith University and Secretariat of the Pacific Regional Environment Programme (SPREP), the project since 2017 is identifying climate change and IKM needs and priorities for a regional approach to climate data sharing, including assessment and establishment of a national portal. The proposed project aims to cooperate with the iCLIM project by complementing a gender-sensitive climate information (including centralized weather and climate related data) and monitoring system as part of the IKM national portal.
- **National Communications (2000, 2014)** PNG's initial and second national communications, supported by UNDP, provides information on the country's sources of GHG emissions and sinks, vulnerability and adaptation for coastal zones, wetlands, agriculture and fisheries, water, health and biodiversity. With regards to projections, policies and plans, the reports call for increased efforts to strengthen capacity of local institutions and communities in dealing with climate change impacts. The assessments conducted through the NCs will be used in this project to analyse gaps and compile the NAP for PNG.
- **Pilot Programme for Climate Resilience (Climate Investment Fund, 2015-2022)** Designed to implement PNG's transition from business as usual to climate-compatible development with participation of various sectors, the PPCR supports vulnerability assessments and pilot measures for sustainable fishery ecosystems and food security in nine island and atoll communities, and climate proof critical ports, roads and other infrastructure. The proposed BRCC project will draw on lessons from the PPCR, particularly regarding community-based adaptation actions in proposing priority adaptation options under sub-outcome 2.2.

The proposed project builds on existing frameworks and processes and cooperates with the ongoing initiatives to strengthen PNG's capacity to effectively respond to climate changes threats. This project will see UNDP help better position communities adapt to the impacts of climate change on the islands, atoll and coastal environments through the development of fit-for-purpose climate change adaptation interventions.

V. Project Management

Project Management

The project will be implemented through UNDP's Direct Implementation Modality (DIM) and according to the UNDP guidelines and managed through an Agreement between UNDP and Climate Change Development Authority. Upon the request of the Government of Papua New Guinea (CCDA), UNDP will serve and the Implementing Partner for this project.

To ensure a strong focus on results, the PMU will be established jointly by UNDP and CCDA. The primary role of the PMU will be to oversee, support, administer and coordinate the implementation of the project under the direction of the National Project Director (in CCDA). UNDP PMU team led by a Team Leader and Project Manager who will provide full support to CCDA. The Deputy Team Leader will provide support to the Team Leader and the Project Manager while the Project Associate will focus on financial management and procurement requirements of the project to ensure effective and efficient implementation project activities.

Following UNDP rules and regulations to manage the team, the Team Leader and Project manager will provide:

- a) Overall management of the initiative and technical inputs in the implementation of the project under the overall guidance and advisory support of UNDP and Project Board
- b) Preparation of detailed annual and financial plans based on the project results framework and theory of change
- c) Management, certification and reporting on financial disbursements based on approved work plan and payment schedule
- d) Monitoring, reporting and evaluation of outputs and accomplishments towards the achievement of project intended outputs
- e) Ensuring the effective, efficient and timely implementation of activities
- f) Programme advocacy and visibility and coordination with relevant stakeholders
- g) Support services to the project for procurement, subcontracting and outsourcing of services.

UNDP will make use of existing Project Board structures, including representatives from key stakeholders (as described above). The Project Board will meet on inception, mid-term and near completion of the Project to:

- Review progress, including follow-up actions
- Consider feedback including lessons learnt and steps toward sustaining outcomes
- Assessing risk and determining the most appropriate mitigation options available.

The UNDP team will meet on a monthly basis with the BRCC PMU and report on progress, including the delivery of outputs, problems, risks and solutions undertaken or needed. This will also include a regular review of activity planning and coordination.

During the inception phase of the project, together with CCDA and BRCC teams, UNDP will discuss the potential for the application of the PPMS (project performance monitoring system) for M&E purposes

UNDP will use a highly skilled, gender-balanced team of Key and Non-Key Experts, bringing together national and international expertise. The team will include individuals who are professional, dedicated and passionate about supporting communities.

Apart from arrangements to ensure proper dynamics within the team, there is a lot of teamwork required with communities, Ward Councilors, LLG Presidents, District and Provincial Administration staff, BRCC Team members in Port Moresby and the five provinces, CCDA staff as well as Technical Agencies at the national level. This will require proper planning and coordination of all activities on a monthly, quarterly and annual basis, focusing on achieving targets and delivering on successful outcomes for the Project.

Project team will consist of individuals who know the context in each of the provinces. At the sub-national level, the team will be supported by Provincial and District Authorities, BRCC Focal Points (FPs) within Provincial Administrations and BRCC Provincial Project Assistants (PPAs), relevant Departments at the National & Provincial Levels, LLGs, Wards and Communities. BRCC Focal Points in provinces will also support with M&E, and support with project activities when necessary.

UNDP's proposed provincial coordinators will be from the respective Project provinces. These individuals will need to speak in local dialects and know their Provinces, preferably with prior experience working on similar projects (i.e. climate change, DRM, small grant program, etc). These experts will have extensive hands-on and practical experience of project coordination as well as technical expertise in a range of sectors including biodiversity, community-based forestry and coastal conservation, natural resource management, agriculture covering livestock, crops and food, nutrition (homestead gardens, farming), community mobilization, project design for grants funding, land-use planning, GIS, capacity building and training and conducting surveys and collecting and compiling of data.

UNDP's proposed international and national experts will complement the additional resource needs in food security, disaster preparedness, capacity building, environmental impact assessments, natural resource management, mangrove forest rehabilitation, coral reefs, fisheries, watersheds, coastal area management and agriculture.



Empowered lives.
Resilient nations.

United Nations Development Programme

**Country: Papua New Guinea
PROJECT DOCUMENT**

VI. Project Results Framework

As per section VII below, the Project Board will review and agree on the results framework and finalize the indicators, means of verification and monitoring plan during the inception workshop and in line with the ADB Agreement.

Expected Outcomes	Output Indicators	Data Source	Baseline		Targets (by frequency of data collection)			Data Methods & Risks	Collection
			Value	Year	2020	2021	Final		
1. Climate change and vulnerability assessments carried out and adaptation plans developed for target communities.	1.1 Adaptation plans at the target communities	BRCC Climate change CCVA/CCVAPs	00	2013	Climate Change Vulnerability Assessments and Plans for target areas	10	11	21	KoBo Toolbox
			00	2018	Investment Priority Plans prepared by communities	10	11	21	Community consultations and visits
1.2 Community disaster management plan and emergency response strategies		DRM manual developed by BRCC	00	2018	awareness raising campaigns/community consultations for DSIP and SGF	10	11	21	Community consultations and visits
			00	2018	Hazard Maps and Emergency Response Plans for target areas	9	10	19	Community-based disaster risk management guide developed by NDC and IOM
			00	2018	Trained disaster Management committee established	7	7	14	Community Consultation and visits

		BRCC gender action plan			Gender Responsive Disaster Strategy	10	11	21	Community Consultation and visits
2. Sustainable fishery eco-systems and food security investments piloted in 9 vulnerable island and atoll communities	1.3 Successful funding applications	Approved List of small grant recipient communities from Small Grants Programme or other funding sources including District Grants through DSIP.	00	2018	Formulating, and facilitating climate change adaptation plans into the LLG, District and Provincial development plans are completed	3	2	5	KoBo Toolbox Community Consultation & Visits Government Reports and Meetings Presentations
	2.1 Improve Livelihood target communities	Project Reports	00	2018	Assessment report on fisheries ecosystems	4	5	9	KoBo Toolbox Community Consultation & Visits Government Reports and Meetings Presentations
			00	2018	LMMAs established, registered and operational with approved management plans being implemented.	4	5	9	KoBo Toolbox Community Consultation & Visits Government Reports and Meetings Presentations
			00	2018	Adaptation measures against climate change in home gardens demonstrated	4	5	9	KoBo Toolbox Community Consultation & Visits Government Reports and Meetings Presentations
			00	2018	mangrove rehabilitation demonstrated forest sites	4	5	9	KoBo Toolbox Community Consultation & Visits Government Reports



United Nations Development Programme

Country: Papua New Guinea PROJECT DOCUMENT

VII. Monitoring and Evaluation Plan

Quality Assurance & Safeguarding

UNDP Country Office oversight unit conducts impartial monitoring and oversight on the development and implementation of workplans, effective roll out of results monitoring and data collection, as well as regular results and evidence-based reporting. The unit ensures that the project follows all corporate policies and guidelines and remains transparent and accountable to UNDP's financial and programme oversight mechanisms.

Safeguarding

At the inception phase of the project, UNDP and CCDA/BRCC team will review ADB's Safeguard Policy Statement and consider its application during project implementation

Monthly Project reviews

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

UNDP will undertake monthly reviews of progress against the agreed work plan and budget. This will also consider any issues that may arise regarding quality, including the validation and verification of outputs that are due for the successful delivery of the Project. The team will document these meetings and circulate any action points to all Project personnel, CCDA and the BRCC.

Final Project Review

UNDP will organize a final project review, which will include representatives from CCDA, BRCC-PMU and other key stakeholders. It will focus on, among other things, the efficiency and effectiveness of delivery and lessons learnt that could be applied in future to similar activities.

Reporting

UNDP will produce a number of reports. These are both required under the Project and reflect our proposed methodology. This indicative schedule as presented below:

Report	Indicative Submission Date
Inception report	30 April 2020
Half-yearly Report, including: · Climate change vulnerability assessments (CCVA).	31 October 2020

<ul style="list-style-type: none"> · Investment priority plans collected from communities. · Provincial trainings on SGF applications and investment plan. · Funding applications to the SGF. · Documentation of community engagement and consultations. 	
<p>Annual/Mid-term project implementation report, including:</p> <ul style="list-style-type: none"> · Resource assessment on fisheries ecosystems and food security. · Community trainings on reef and coastal management and other food security initiatives. · Adaptation measures against climate change in home gardens demonstrated in target communities. · Mangrove forest rehabilitation demonstrated. · Watershed rehabilitation demonstrated in communities adjoining target vulnerable islands. · Food processing and preservation initiatives piloted in island communities. · Workshops (one in each province and AROB) in formulating, facilitating and mainstreaming climate change adaptation plans into the LLG, district and provincial development plans. · Gender-responsive disaster response strategies developed in vulnerable island communities. · Establishment of disaster management committees. · Trainings on emergency response. · Documentation of community engagement and consultations. 	30 April 2021
<p>Half-yearly Report, including:</p> <ul style="list-style-type: none"> · LMMAs established, registered and operational. · Documentation of community engagement and consultations. 	31 October 2021
<p>Final Report, including:</p> <ul style="list-style-type: none"> · Documentation of community engagement and consultations process. · Final sustainability report including report on completion of sub-projects. 	31 December 2021



United Nations Development Programme

**Country: Papua New Guinea
PROJECT DOCUMENT**

MANDATORY UNDP/ADB M&E REQUIREMENTS AND M&E BUDGET

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analyzed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	UNDP & CCDA	0.00
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP & CCDA	0.00
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least bi-annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP & CCDA	5,000.00

Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP	0.00
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP & CCDA	0.00
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Quarterly Progress Reports, Annual Progress Reports, and at the end of the project (final report)	Informing the Senior Management, Partners and Donors about the Progress of the Project including achievements, challenges, and risks	UNDP & CCDA	0.00
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	UNDP & CCDA	5,000.00



Empowered lives.
Resilient nations.

United Nations Development Programme

Country: Papua New Guinea PROJECT DOCUMENT

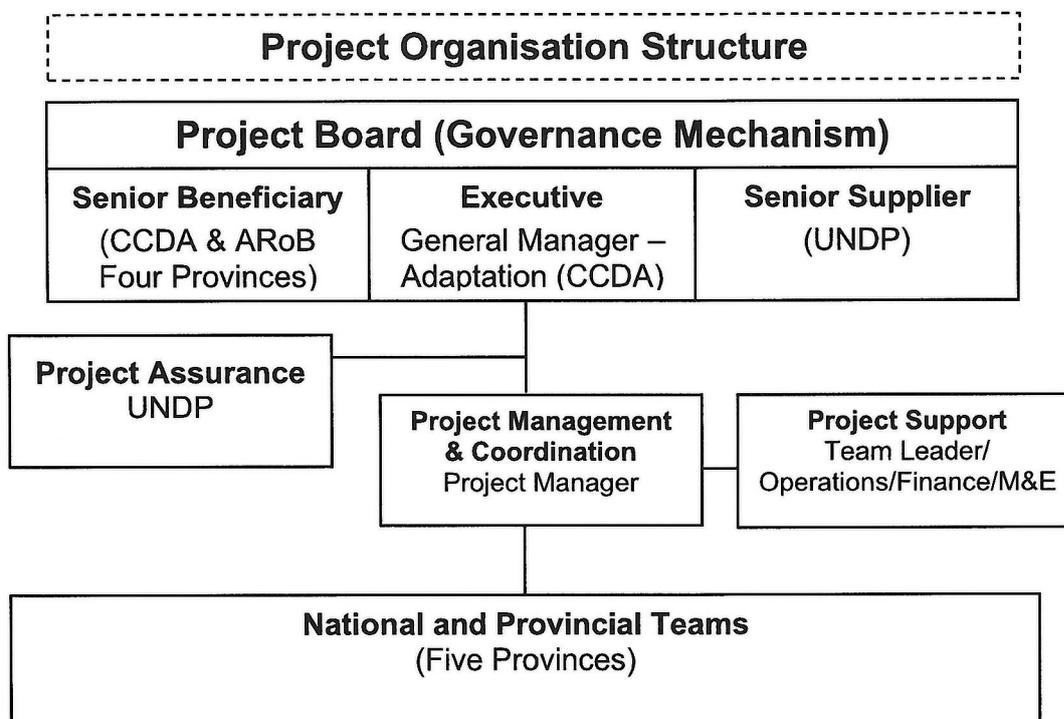
VIII. Governance and Management Arrangements

UNDP will consider integrating the existing BRCC Project management arrangements, such as the BRCC Project Steering Committeeⁱⁱ. This would allow UNDP interventions to be integrated into the overall BRCC project, while saving time for UNDP to focus on project implementation in provinces.

As part of the project implementation in provinces, UNDP will ensure that target groups are engaged in decision making and participate in project implementation. UNDP will also ensure that the voices of target groups and beneficiaries are heard through the Project Steering Committee meetings.

Under the overall framework of the BRCC Project, CCDA has established Provincial Project Steering Committees. UNDP's Provincial Coordinators will attend these provincial level PB meetings, representing UNDP.

The project organization structure is as follows:



Project Board: The Project Board is responsible for making by consensus, management decisions when guidance is required by the Chief Technical Adviser, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. As such, while UNDP assumes ultimate management responsibility and accountability for all of the project implementation, i.e. delivering all activities to reach the expected outputs of the approved project, this accountability only extends to the execution of approved activities and budget resources under the project (as approved by the NDA or Executing Agency). UNDP's final vote is to ensure fiduciary compliance only when consensus agreement cannot be reached by the Board. The Project Board will meet at least once a year.

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints
- Address project issues as raised by the project manager
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks
- Agree on project manager's tolerances as required
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans
- Appraise the annual project implementation report, including the quality assessment rating report
- make recommendations for the workplan
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board must include the following roles:

Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive for this project is CCDA.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive must ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief relevant stakeholders about project progress
- Organise and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for

this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier for this project is UNDP.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary for this project is the Climate Change Development Authority (CCDA) and the four provinces and the Autonomous Region of Bougainville (ARoB).

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored.

The Project Management Unit: composed of a Team Leader, Deputy Team Leader, a Project Manager and Project Associate will carry out project implementation. The PMU will be further supported by a Senior Climate Change Advisor from UNDP. From the GoPNG side, the Managing Director from CCD (or delegate) along with the CCDA General Manager for Adaptation and Projects or the BRCC Project Director will provide additional implementation support.

Project Manager: The Project Manager (national profile) has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies)
- Liaise with the Project Board to assure the overall direction and integrity of the project
- Identify and obtain any support and advice required for the management, planning and control of the project
- Responsible for project administration
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan

- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log
- Capture lessons learned during project implementation
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
- Prepare the Annual Project Report and submit the final report to the Project Board
- Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Identify follow-on actions and submit them for consideration to the Project Board
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board.

Project Assurance: UNDP provides oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board.

IX. Financial Planning and Management

The total cost of the project is USD 3,000,000. The fund part of the BRCC grant being implemented / executed by CCDA. UNDP, as the ADB Accredited Agency, is responsible for the oversight and quality assurance of the execution of ABD resources and the cash co-financing transferred to UNDP bank account only.

ADB Disbursement schedule: Disbursement request will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the "Agreement" between CCDA and UNDP.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.¹² On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed.

Transfer or disposal of assets: In consultation with the Partners and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other

¹² see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file¹³.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP has closed the accounts for the project; c) UNDP has certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the CCDA Finance Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

¹³ See

https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

Multi-Year Work Plan 1415

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

• MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	Funding Source	Budget Code	Budget Description	PLANNED BUDGET		
		Q4 2019	Q1-4 2020	Q1-3 2021					Amount Year 1 (2019-2020)	Amount Year 2 (2020-2021)	TOTAL
Output 1: Climate change and vulnerability assessments carried out and adaptation plans developed for target communities (21 islands and atolls for all Output 1 project activities and 19 islands and atolls for CCVA alone, see Attachment 1) Gender marker:	1.1 Inception workshops and meetings	X			UNDP/CCDA/ BRCC PMU	ADB	60000	Salary Cost (IP)	73,555	73,555	147,110
	1.2 Undertaking climate risk and vulnerability assessments		X		UNDP/CCDA/ BRCC PMU	ADB	71200	International Consultant	43,125	43,125	86,250
	1.3 Develop climate change vulnerability adaptation plans		X		UNDP/CCDA/ BRCC PMU	ADB	71600	Local Consultant	149,191	90,956	240,147
	1.4 Developing emergency response strategies		X		UNDP/CCDA/ BRCC PMU	ADB	71400	Contractual Services	82,945	82,945	165,890
	1.5 Assisting local communities to prepare funding applications for identified investments		X		UNDP/CCDA/ BRCC PMU	ADB	72200	Travel	239,044	239,044	478,088
	1.6 Investment Priority Plans collected from communities		X		UNDP/CCDA/ BRCC PMU	ADB	72300	Equipment and Furniture	6,000	6,000	12,000
						ADB	72300	Materials and Goods	2,000	2,000	4,000
						ADB	72400	Communications and Audio-Visual Equipment	2,500	2,500	5,000
						ADB	72500	Supplies	2,000	2,000	4,000

¹⁴ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

¹⁵ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Output 2: Sustainable fishery eco-systems and food security investments piloted in 9 vulnerable island and atoll communities Gender Marker:	1.7. Provincial Trainings on SGF applications and investment plan	X			UNDP/CCDA/ BRCC PMU	ADB	73100	Rental and Maintenance Premises	26,175	26,175	52,350	
	1.8. Funding applications to the SGF	X			UNDP/CCDA/ BRCC PMU	ADB	74200	Audio Visual and Printing Production	37,627	37,627	75,254	
	1.9. Documentation of community engagement and consultation	X			UNDP/CCDA/ BRCC PMU	ADB	74500	Miscellaneous Expenses/Comms	6,000	6,000	12,000	
	1.10. Gender responsive disaster response strategies developed in vulnerable island communities	X	X		UNDP/CCDA/ BRCC PMU	ADB	75100	Facilities and Administration	55,555	55,555	111,111	
	1.11. Establishment of Disaster Management Committees & Trainings on emergency response	X	X		UNDP/CCDA/ BRCC PMU	ADB	75700	Workshop, Training and Conferences	53,400	53,400	106,800	
	MONITORING	X	X		UNDP/CCDA/ BRCC PMU	ADB						
	Sub Total Output 1									779,118	720,882	1,500,000
	2.1. Resource assessment on fisheries ecosystems and food security	X			UNDP/CCDA/ BRCC PMU	ADB	60000	Salary Cost (IP)	73,555	73,555	147,110	
	2.2. Supporting the implementation of fisheries ecosystems activities in the communities	X	X		UNDP/CCDA/ BRCC PMU	ADB	71200	International Consultant	43,125	43,125	86250	
	2.3. Supporting the implementation of food security activities in the communities	X	X		UNDP/CCDA/ BRCC PMU	ADB	71300	Local Consultant	149,191	90,956	240,147	
2.4. Providing necessary support to communities during subproject design and construction phases	X	X		UNDP/CCDA/ BRCC PMU	ADB	71400	Contractual Services	82,945	82,945	165,890		
2.5. Providing capacity building and knowledge sharing	X	X		UNDP/CCDA/ BRCC PMU	ADB	71600	Travel	119,044	119,044	238,088		
2.6. Community Trainings on reef and coastal management	X	X		UNDP/CCDA/ BRCC PMU	ADB	72200	Equipment and Furniture	6,000	6,000	12,000		
2.7. Mangrove forest rehabilitation demonstrated	X	X		UNDP/CCDA/ BRCC PMU	ADB	72300	Materials and Goods	2,000	2,000	4,000		
2.8. Watershed rehabilitation demonstrated in communities adjoining target vulnerable islands	X	X		UNDP/CCDA/ BRCC PMU	ADB	72400	Communications and Audio-Visual Equipment	2,500	2,500	5,000		
2.9. Workshops (one in each province and AROB) in formulating, facilitating and mainstreaming	X	X		UNDP/CCDA/ BRCC PMU	ADB	72500	Supplies	2,000	2,000	4,000		

X. Legal Context

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of PNG and UNDP, signed on 07 April 1981. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP PNG in accordance with its financial regulations, rules, practices and procedures. In addition, provisions included in the ADB-UNDP Memorandum of Understanding, and the accompanying Administrative Arrangements underline specific arrangements, which will be considered during project implementation. Copies of the MoU and the Administrative Arrangement is attached.

XI. Risk Management

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).
2. UNDP will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
 - a. Consistent with the Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor, and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan considering

- ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, mutatis mutandis, in all its sub-contracts or sub-agreements entered into further to this Project Document.

Special Clauses: In case of government cost-sharing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details
2. *The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.*
3. *The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities.*
4. *UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.*
5. *All financial accounts and statements shall be expressed in United States dollars.*
6. *If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.*
7. *If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph 6 above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.*
8. *Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.*

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

- (a) 8% cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
- (b) Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.

9. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

10. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.

XII. Mandatory Annexes

The following documents are mandatory annexes and must be included as part of the final project document package.

- Annex A: Agreement between CCDA, Government of Papua New Guinea and UNDP
- Annex B: Project Quality Assurance Report
- Annex C: Social and Environmental Screening Template
- Annex D: Risk Analysis
- Annex E: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
- Annex F: Terms of References for Project Board and Project Team / PMU
- Annex G: Milestone based Payment Schedule – ADB template
- Annex H: Cost Estimate – ADB template

Annex A: Agreement between CCDA, Government of Papua New Guinea and UNDP

AGREEMENT

Between

**Climate Change and Development Authority, Government of Papua New Guinea
(CCDA)**

AND

**United Nations Development Programme
(UNDP)**

**For the provision of community facilitation services in the implementation of ADB-
supported Building Resilience to Climate Change in Papua New Guinea Project**

DATED: 19 March 2020

AGREEMENT

This Agreement including five appendices attached hereto (hereinafter called the Agreement) is made on 19th day of March 2020 between the Climate Change and Development Authority (hereinafter called CCDA) of the one part, and the United Nations Development Programme of the other part (hereinafter called UNDP) with its headquarters situated at New York, United States of America.

WHEREAS the CCDA has requested UNDP to carry out such work on the terms and conditions hereinafter set forth which UNDP has agreed to do with respect to Building Resilience to Climate Change (BRCC) in Papua New Guinea Project (Grant No. 0447-PNG, 0598-PNG, 0600-PNG)

NOW THEREFORE the parties hereto agree as follows:

ARTICLE I The Services

Section 1.01 **Description of Services.** The work to be performed by UNDP under the Agreement (such work being hereinafter called the Services) is more particularly described in the Terms of Reference (Appendix A) and associated proposal set forth in Appendix B.

Section 1.02 **Commencement Date.** UNDP shall commence the Services as soon as possible but not later than thirty (30) calendar days after CCDA has given to UNDP notice to proceed with the Services and upon receipt of the funds. It is presently anticipated that the services will commence not later than 09 March 2020 and to be completed by 31 October 2021.

Section 1.03 **Date of Entry on Duty.** UNDP shall promptly inform the CCDA of the date of entry on duty of its personnel.

ARTICLE II Personnel

Section 2.01 **Personnel.** (a) The Services shall be carried out by personnel as specified in Appendix C (hereinafter called the Personnel) for the respective periods of time indicated therein provided that UNDP may make adjustments in such periods as may be appropriate to ensure the efficient performance of the Services and provided further that such adjustments will not cause payments made under the Agreement to exceed the maximum amount payable as specified in Section 3.02. Any persons debarred or temporarily suspended by ADB in accordance with ADB's Anticorruption Policy and Integrity Principles and Guidelines shall be ineligible to participate in activities related to this Agreement.

(b) Should it be necessary for UNDP to replace any of its experts, UNDP shall forthwith provide a replacement with comparable or better qualifications. In the event that the person replaced is, at the time of replacement, in the field, the UNDP shall bear the travel and other related costs arising out of or incidental to the replacement. The rate of remuneration and out-

Agreement provided, total payments under this Agreement shall not exceed a sum equivalent to **US Dollars Three Million**.

Section 3.03. Coordination and Facilities.

(a) CCDA shall certify the completion of milestones by UNDP under the Services through the BRCC Project Management Unit (supported by the Project Implementation Support Consultant).

(b) CCDA shall provide UNDP with necessary assistance and documentation in relation to the Services that UNDP may reasonably require during the provision of Services. The Parties will liaison with each other and conduct meetings, as appropriate, for the purposes of information sharing in connection with the Services and Project.

**ARTICLE IV
Reports**

Section 4.01 **Reports.** UNDP shall submit to the CCDA and ADB in the English language the following reports:

- (i) An Inception Report {3 copies of printed report and electronic version (word and pdf format)} to the BRCC PMU within six weeks after the commencement of the Services. One copy shall be distributed to the PMU, CCDA and ADB.
- (ii) Reports to the CCDA to be submitted every month after the commencement of the Services. The reports should clearly indicate the status of implementation in accordance with the Detailed Work Plan (DWP) to be provided as part of the inception report. In the event of failing to comply with the time frame in line with the Schedule of Events, the causes must be expressively identified accompanied by suggestions for remedial measures.
- (iii) Milestone Completion Reports for deliverables as set out in Appendix D and format for which shall be agreed in the Inception Report. {3 sets of printed report and electronic version (word and pdf format) to the BRCC PMU for distribution to the PMU, CCDA and ADB}. The three milestone reports shall be submitted as soon as the corresponding deliverables set out in Appendix D are completed. The completion of the milestones and the acceptance of the milestone completion reports by BRCC and ADB shall form the basis for the release of following advance payment.
- (iv) Draft Final/Completion Report of the project as set out in Appendix D and format for which shall be agreed in the Inception Report – 3 sets of printed report and electronic version (word and pdf format) to the BRCC PMU for distribution to the PMU, CCDA and ADB. The report ~~to~~ shall be submitted after the corresponding deliverables set out in Appendix D are completed. This will be discussed at a Project Steering Committee (PSC) meeting.
- (v) A Final/Completion Report of the project – 3 sets of printed report and electronic version (word and pdf format) to the BRCC PMU for distribution to the PMU, CCDA and ADB. –to be submitted within one month after the said PSC Meeting. No payment will be made for submission and acceptance of the Final/Completion Report.
- (vi) The Final Report shall take into consideration the comments of the CCDA and ADB.

ARTICLE V General Provisions

Section 5.01 **Performance of the Services.** UNDP shall carry out the Services with due diligence and efficiency and shall furnish to the CCDA and ADB (subject to UNDP Information Disclosure Policy) such information related to the Services as CCDA, or ADB may from time to time request.

Section 5.02 **Accounts and Records.** (a) UNDP shall keep accurate and systematic accounts and records in respect to the Services in such form and detail as are customary in its profession and are sufficient to establish accurately that the costs and expenditures referred to in Article III have been duly incurred.

(b) Auditing in connection with the Services shall be regulated in accordance with the United Nations Single Audit Principle. UNDP shall provide to ADB an annual financial statement, as of 31 December each year, certified by the UNDP Comptroller and on use of the funds under this Agreement, during the previous year not later than 30 June the following year. After completion and financial closing of the Project, UNDP shall provide not later than 30 June of the year following the financial closing, a final financial statement, certified by the UNDP Comptroller, on the use of the funds.

Section 5.03 **Sub-Contracts.** UNDP may subcontract work related to the Services to individuals or entities. However, UNDP shall retain full responsibility for the Services and for the content of all Reports required hereunder, which shall be submitted and signed by UNDP.

Section 5.04 **Insurance.** (a) UNDP may take out and maintain adequate insurance against loss or damage to equipment purchased by UNDP in whole or in part with funds provided by the CCDA or the ADB. The proceeds of such insurance shall be payable in a currency freely usable to replace or repair such equipment.

(b) The CCDA undertakes no responsibility in respect to life, accident, travel or any other insurance coverage for the employees or subcontractors of UNDP or for the dependents of any such persons.

Section 5.05 Ownership of Reports and Equipment.

(a) All reports, documents, correspondence, draft publications, maps, drawings, notes, specifications, statistics, work product in any form and technical data compiled or prepared by UNDP in implementing the Project (in electronic form or otherwise and including computer-disks comprising data) (all together the "Intellectual Property") shall be owned by CCDA. UNDP shall have a free-of-royalty, unlimited, perpetual and irrevocable license to use and transfer such Intellectual Property."

(b) Any software and all computer programs developed by UNDP under this Agreement shall remain the property of UNDP. However, a perpetual license shall be granted

to the CCDA by UNDP to allow it to use the software uninterrupted and without any need to renew the license.

(c) Equipment and materials furnished to UNDP by the CCDA, or purchased by UNDP with funds supplied or reimbursed by the CCDA hereunder, shall be the property of the UNDP for the duration of the project. Ownership of the said project equipment and materials shall be transferred to the CCDA at the end of the project.

Section 5.06 **Disposal of Data and Equipment**. Upon completion or termination of the Services, UNDP shall:

(a) return to the CCDA any materials furnished to UNDP by the CCDA, or ADB respectively, for the purposes of the Services, and

(b) furnish to the CCDA inventories of the equipment referred to in Section 5.05(b) hereof as it then remains and dispose of the same as directed by the CCDA.

Section 5.07 **Relationship of Parties**. Nothing contained herein shall be construed as establishing or creating between the CCDA and UNDP a relationship of master and servant or principal and agent. It being agreed that the position of UNDP and of the personnel performing the Services is that of an independent contractor. The Parties acknowledge and agree that UNDP is an integral part of the United Nations.

Section 5.08 **Coordination**. UNDP shall, at all times, cooperate and coordinate with the CCDA, with respect to the project.

Section 5.09 **Integrity**. Allegations relating to possible corrupt, fraudulent, coercive, collusive practice, or any integrity violation shall be investigated by UNDP per UNDP Financial Regulations and Rules and procedures. Nothing in this section shall be deemed to waive or otherwise limit any right or authority of ADB under the Grant Agreement or otherwise, to investigate allegations or other information relating to possible corrupt, fraudulent, coercive, collusive or obstructive practices, or any integrity violation, as defined in ADB's Anticorruption Policy (1998) and Integrity Principles and Guidelines (2015), both as amended from time to time, by any party, or to sanction or take remedial action against any such party which ADB has determined to have engaged in such practices; provided, however that in this section, "party" does not include UNDP. To the extent consistent with UNDP's oversight framework, including regulations, rules, policies and procedures, and if requested by ADB, UNDP shall cooperate with ADB or such other entity in the conduct of such investigations. In connection with this, UNDP shall promptly notify ADB of any credible allegations of corrupt, fraudulent, coercive, collusive, obstructive practices or any integrity violation.

ARTICLE VI

Suspension and Termination; Settlement of Disputes

Section 6.01 **Impossibility of Performance**. UNDP shall promptly notify the CCDA of any situation or of the occurrence of any event beyond the control of UNDP, which makes it

impossible or impracticable for UNDP to carry out its obligations hereunder. Upon confirmation in writing by the CCDA of the existence of any such situation or event or upon failure of the CCDA to respond to such notice within thirty (30) days, UNDP shall be relieved from all liability for failure to carry out its obligations. In case of disagreement between the parties as to the existence of such situation or event, the matter shall be submitted to arbitration in accordance with Section 6.06 hereof.

Section 6.02 **Suspension.** (a) With the exception of funds already received and committed and for which UNDP has incurred a liability, the CCDA may, by notice to UNDP, suspend in whole or in part the disbursement of funds hereunder if UNDP shall have failed materially to carry out any of its obligations under this Agreement. Before deciding on any such suspension, the CCDA shall notify UNDP of its material failure and request it to remedy the failure within thirty (30) days.

(b) In the event of a major delay in the implementation of the work programme, the CCDA may suspend the respective payments provided for in Section 3.01 hereof. In such event, UNDP shall prepare a modified budget and payment schedule which shall take effect after approval by the CCDA, and payment shall be resumed in accordance with the modified schedule.

Section 6.03 **Termination by the CCDA.** The CCDA may terminate this Agreement by notice to UNDP:

(a) if the Loan/Grant Agreement shall have been terminated; or

(b) if UNDP shall have failed materially to carry out any of its obligations under this Agreement, as long as it does not conflict with prevailing UN rules and regulations. Before deciding on any such termination, the CCDA shall notify UNDP of its material failure and request it to remedy the failure within thirty (30) days.

(c) if any personnel in Appendix C, or any other person or entity assigned by UNDP to render Services under this Agreement, is found to be engaged in corrupt, fraudulent, collusive, coercive practices or to be in a conflict of interest or any integrity violation and UNDP fails to take adequate steps to prevent the situation and/or remedy the situation.

(d) at any time at the discretion of the CCDA, upon not less than thirty (30) days' notice of its intention to terminate, as long as it does not conflict with prevailing UN rules and regulations.

Section 6.04 **Termination by UNDP.** UNDP may, by notice to the CCDA, terminate this Agreement:

(a) if payments as provided in Section 3.01 hereof are not received within thirty (30) days after the due dates, and such default has not been remedied within fifteen (15) days after notice has been given by UNDP to the CCDA; and

impossible or impracticable for UNDP to carry out its obligations hereunder. Upon confirmation in writing by the CCDA of the existence of any such situation or event or upon failure of the CCDA to respond to such notice within thirty (30) days, UNDP shall be relieved from all liability for failure to carry out its obligations. In case of disagreement between the parties as to the existence of such situation or event, the matter shall be submitted to arbitration in accordance with Section 6.06 hereof.

Section 6.02 **Suspension**. (a) With the exception of funds already received and committed and for which UNDP has incurred a liability, the CCDA may, by notice to UNDP, suspend in whole or in part the disbursement of funds hereunder if UNDP shall have failed materially to carry out any of its obligations under this Agreement. Before deciding on any such suspension, the CCDA shall notify UNDP of its material failure and request it to remedy the failure within thirty (30) days.

(b) In the event of a major delay in the implementation of the work programme, the CCDA may suspend the respective payments provided for in Section 3.01 hereof. In such event, UNDP shall prepare a modified budget and payment schedule which shall take effect after approval by the CCDA, and payment shall be resumed in accordance with the modified schedule.

Section 6.03 **Termination by the CCDA**. The CCDA may terminate this Agreement by notice to UNDP:

(a) if the Loan/Grant Agreement shall have been terminated; or

(b) if UNDP shall have failed materially to carry out any of its obligations under this Agreement, as long as it does not conflict with prevailing UN rules and regulations. Before deciding on any such termination, the CCDA shall notify UNDP of its material failure and request it to remedy the failure within thirty (30) days.

(c) if any personnel in Appendix C, or any other person or entity assigned by UNDP to render Services under this Agreement, is found to be engaged in corrupt, fraudulent, collusive, coercive practices or to be in a conflict of interest or any integrity violation and UNDP fails to take adequate steps to prevent the situation and/or remedy the situation.

(d) at any time at the discretion of the CCDA, upon not less than thirty (30) days' notice of its intention to terminate, as long as it does not conflict with prevailing UN rules and regulations.

Section 6.04 **Termination by UNDP**. UNDP may, by notice to the CCDA, terminate this Agreement:

(a) if payments as provided in Section 3.01 hereof are not received within thirty (30) days after the due dates, and such default has not been remedied within fifteen (15) days after notice has been given by UNDP to the CCDA; and

to UNDP HQ New York for clearance (legal, financial or otherwise), and any documents required or permitted to be executed, under this Agreement may be taken or executed on behalf of UNDP by the Resident Representative or his designated representative.

Section 7.03 **Authorized Representative of the CCDA.** (a) Except for variations as set out in Section 7.04 hereof, all orders, directions and instructions pertaining to technical aspects of the Services shall be given on behalf of the CCDA to UNDP by the Managing Director, Climate Change & Development Authority or a designated representative.

(b) All notices, orders, directions, instructions and other documents relating to the employment, termination, discharge, compensation or expenses of UNDP, shall be given on behalf of the CCDA to UNDP by the Managing Director, Climate Change & Development Authority or a designated representative.

Section 7.04 **Variations.** (a) The Agreement may be varied by agreement between the parties. All such variations shall be in writing signed by the authorized representative of UNDP and the Managing Director, Climate Change & Development Authority.

(b) The CCDA or UNDP may notify the other party of any proposal, to alter, amend, omit, add to, or otherwise vary the Services. UNDP shall submit to the CCDA an estimate for the proposed change in the Services within twenty one (21) working days of receipt of a notice of variation, and the said estimate shall comprise the following:

- (i) an estimate of the impact (if any) of the variation on the current Personnel Schedule;
- (ii) a detailed schedule for execution of the variation showing the resources to be employed and any significant milestones;
- (iii) a detailed costing covering the total amount of the variation; and
- (iv) a proposed revision (if any) of the schedule of payments pursuant to Appendix D.

(c) UNDP shall not perform the variation until the CCDA has authorized a change order in writing including a revised Agreement Amount, based on the estimate provided by UNDP pursuant to (b) above.

(d) Changes mutually agreed upon as a variation shall constitute part of the Services and the provisions and conditions of this Agreement shall apply to such variation

Section 7.05 **Conflict of Interest.** Except as the CCDA shall otherwise specifically agree in writing, no Personnel of UNDP involved with this project shall engage in any other activities relating to the Project, other than the Services.

Section 7.06 **Notices and Requests.** Any notice or request required or permitted to be given or made under this Agreement shall be in writing and in the English language. Such notice or request shall be deemed to be duly given or made when it shall have been delivered by hand, mail, cable, telex or facsimile to the party to which it is required to be given or made

at such party's address specified in writing to the party giving such notice, or making such request.

Section 7.07 **Confidentiality**. UNDP and its personnel shall not, at any time, communicate to any person or entity any confidential information acquired during the Services, nor shall UNDP and its personnel make public the recommendations formulated during, or after the Services. For the purposes of this section 7.07, "confidential information" means any information or knowledge UNDP and/or its personnel may acquire from performing the Services under this Agreement that is not otherwise available to the public. This clause does not apply to the technical data that is part of the Intellectual Property (as defined in Section 5.05).

For the Climate Change and Development Authority

Attention: Ruel Yamuna, Managing Director
Address: Climate Change and Development Authority

Telephone No.: +675 325 7620
Email Address: ryamuna959@gmail.com

For UNDP

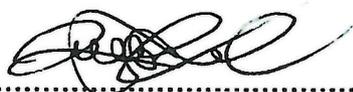
Attention: Dirk Wagener, Resident Representative
Address: Country Office, United Nations Development Programme, Papua New Guinea
Telephone No.: +675 321 2877
Email Address: dirk.wagener@undp.org

Section 7.07 **Effective Date**. (a) This Agreement shall become effective upon the date notice is given to proceed with the Services under Section 1.02 of this Agreement.

(b) Should this Agreement not have become effective within two (2) months after the date hereof, this Agreement shall lapse forthwith unless the CCDA shall otherwise agree.

IN WITNESS WHEREOF, the parties hereof have caused this Agreement to be signed in their respective names and delivered at the principal office of the CCDA, as the day and year first above written

For the Climate Change and Development Authority



.....
Ruel Yamuna
Managing Director

For the United Nations Development Programme



.....
Dirk Wagener
Resident Representative

ANNEX B: Project Quality Assurance Template

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

<p>1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time. • 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. • 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	Evidence	
<p>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work¹⁶ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas¹⁷; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i> • 2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. 	3	2
	1	
	Evidence	

RELEVANT

3 2

¹⁶ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

¹⁷ sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<p>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i> 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i> 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <p><i>*Note: Management Action must be taken for a score of 1, or select not applicable.</i></p>	<p>1</p> <p>Evidence</p>						
<p>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> 3: A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>		2	1		Evidence	
	2						
1							
Evidence							

*Note: Management Action or strong management justification must be given for a score of 1

SOCIAL & ENVIRONMENTAL STANDARDS

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. *(all must be true to select this option)*
- **2:** Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.
- **1:** No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

*Note: Management action or strong management justification must be given for a score of 1

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option).*
- **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

*Note: Management action or strong management justification must be given for a score of 1

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

MANAGEMENT & MONITORING

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):

- **3:** The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. *(all must be true to select this option)*
- **2:** The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. *(all must be true to select this option)*
- **1:** The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

*Note: Management Action or strong management justification must be given for a score of 1

11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	Yes (3)	No (1)
12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>. • 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i> • 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
1		
Evidence		
13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i> • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p><i>*Note: Management Action must be taken for a score of 1</i></p>	3	2
1		
Evidence		
EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	Yes (3)	No (1)
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	Yes (3)	No (1)
16. Is the budget justified and supported with valid estimates? <ul style="list-style-type: none"> • 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget. 	3	2
1		
Evidence		
17. Is the Country Office fully recovering the costs involved with project implementation?	3	2
1		

<ul style="list-style-type: none"> • 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	Evidence
---	-----------------

EFFECTIVE

<p>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i> • 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							

<p>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</p> <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. • 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							

<p>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</p>	<table border="1"> <tr> <td>Yes (3)</td> <td>No (1)</td> </tr> </table>	Yes (3)	No (1)
Yes (3)	No (1)		

<p>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</p> <p>*Note: Management Action or strong management justification must be given for a score of "no"</p>	<table border="1"> <tr> <td>Yes (3)</td> <td>No (1)</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	Yes (3)	No (1)	Evidence	
Yes (3)	No (1)				
Evidence					

<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a realistic work plan & budget covering the duration of the project <i>at the activity level</i> to ensure outputs are delivered on time and within the allotted resources. • 2: The project has a work plan & budget covering the duration of the project at the output level. • 1: The project does not yet have a work plan & budget covering the duration of the project. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							

SUSTAINABILITY & NATIONAL OWNERSHIP

	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1	
3	2				
1					

<p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	Evidence	
<p>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. 	3	2.5
	2	1.5
	Evidence	
<p>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?</p>	Yes (3)	No (1)
<p>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</p>	Yes (3)	No (1)

ANNEX C: Social and Environmental Screening Template

[English] [French] [Spanish], including additional Social and Environmental Assessments or Management Plans as relevant. (NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).

SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE AND PLAN AS NEEDED

1. Rationale for the Social and Environmental Screening
2. Methodology and approach
3. Contextual analysis

Project Information

Project Information	
1.	Project Title
2.	Project Number
3.	Location (Global/Region/Country)

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Briefly describe in the space below how the Project mainstreams environmental sustainability

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What environmental assessment measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>		
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>Principle 1 - Risk 1: Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>		
<p>Principle 1 - Risk 2: Is there a risk that rights-holders do not have the capacity to claim their rights?</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>		
<p>Principle 1 - Risk 3: Land use disputes within the communities affect implementation of project activities and plans.</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>		
<p>Principle 3, Standard 3 - Risk 4: Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes,</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>		

subsidence, landslides, erosion, flooding or extreme climatic conditions?				
Principle 3, Standard 6 - Risk 5: Are indigenous peoples present in the Project area (including Project area of influence)?	I = 1 P = 1	Low	The project will pilot locally appropriate low-cost climate change adaptation measures in selected remote island and atoll communities.	
Principle 3, Standard 6 - Risk 6: Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	I = P =	Low	The project will pilot locally appropriate low-cost climate change adaptation interventions in selected remote island and atoll communities.	
[add additional rows as needed]				
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
Low Risk			<input type="checkbox"/>	
Moderate Risk			<input type="checkbox"/>	
High Risk			<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply				
Principle 1: Human Rights			<input type="checkbox"/>	
Principle 2: Gender Equality and Women's Empowerment			<input type="checkbox"/>	
1. Biodiversity Conservation and Natural Resource Management			<input type="checkbox"/>	
2. Climate Change Mitigation and Adaptation			<input type="checkbox"/>	
3. Community Health, Safety and Working Conditions			<input type="checkbox"/>	
4. Cultural Heritage			<input type="checkbox"/>	
5. Displacement and Resettlement			<input type="checkbox"/>	
6. Indigenous Peoples			<input type="checkbox"/>	

	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	
--	--	--------------------------	--

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁸	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No

¹⁸ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁹ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	Yes

¹⁹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ²⁰	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No

²⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex D: Project Risk Log

#	Description	Date Identified	Type	Impact & Probability	Counter measures / management response	Owner	Submitted /updated by	Last Update	Status (stable/improving)
1	Duplication of climate change adaptation initiatives across sectors and at subnational levels.	Project Formulation Phase (2019)	Strategic	Ineffective communication and coordination among partners will contribute to duplication and/or overcrowding of climate change adaptation initiatives across the sectors at national and subnational levels. Probability = 3 Impact = 3 Risk = 3	The project will support CCDA and government-wide engagement and outreach program to create awareness and advocate at national and subnational levels	UNDP CO, CCDA	Project Design Team	July 2020	Improving
2	Government's financial contribution is not sustained	Project Formulation Phase (2019)	Financial	With ongoing limited budgetary allocation to climate change, the ad-hoc government counter-part funding will not sustain operations and management of adaptation measures. Probability = 4 Impact = 4 Risk = 4	The project will develop government and local capacities on resource mobilisation including planning and budgeting to advocate and generate interest among decision-makers.	UNDP CO, CCDA	Project Design Team	July 2020	Improving
3	Inadequate local capacities on community-based climate change adaptation	Project Formulation Phase (2019)	Organizational	Limited pool of local experts will affect technical oversight on community adaptation measures Probability = 4 Impact = 4	Based on the climate change vulnerability assessment (CCVA) of communities, the project will undertake targeted capacity building for subnational	UNDP CO, CCDA	Project Design Team	July 2020	Improving

#	Description	Date Identified	Type	Impact & Probability	Counter measures / management response	Owner	Submitted /updated by	Last Update	Status (stable/improving)
				Risk = 4	partners focusing on government and local communities. This will likely improve the technical know-how and maintain interest of communities which could help mobilise local support to sustain the adaptation measures.				
4	Project Staff not mobilized in a timely manner	Project Formulation Phase (2019)	Operational	Any delay to establish the project management unit will affect implementation of project activities. Probability = 3 Impact = 3 Risk = 3	The project will utilize existing mechanisms for implementation and fast track recruitment arrangements to hire PMU staff.	UNDP CO, CCDA	Project Design Team	July 2020	Improving
7	Complex community social systems and landownership arrangement become counterproductive to promoting community leadership and ownership on communally agreed	Project Formulation Phase (2019)	Social	Low levels of literacy and understanding may contribute to landowner misunderstanding and expectations of participation in the development and implementation of communication adaptation measures Probability = 2 Impact = 2	A clear plan for community engagement, consultation, awareness, and advocacy will be undertaken by the project. During the inception phase, the project will consider landownership arrangements and work with local people and	UNDP CO, CCDA	Project Design Team	July 2020	Improving

#	Description	Date Identified	Type	Impact & Probability	Counter measures / management response	Owner	Submitted /updated by	Last Update	Status (stable/improving)
	community adaptation initiatives			Risk = 2	government officials to ensure challenges are overcome.				
8	Increased frequency and intensity of climate change events impacting local environmental conditions	Project Formulation Phase (2019)	Environmental	Unforeseen environmental and climate change conditions impacting community efforts on implementing adaptation measures Probability = 3 Impact = 3 Risk = 3	Planning of project activities would take into consideration the forecasts and unforeseen adverse weather conditions as far as possible. This will help create awareness on cyclical nature of climate change events	UNDP CO, CCDA	Project Design Team	July 2020	Improving

Annex E: Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

2017 Capacity Assessment of Implementing Partner: Climate Change Development Authority (CCDA)

AREAS FOR ASSESSMENT		ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
PART I. BACKGROUND INFORMATION			
1. History		Date of establishment of the organization November 2015. Effective January 2016, Climate Change Development Authority was established having transitioned from Office of Climate Change and Development established in 2010	Climate Change Management Act (2015) , Gazettal Notice No. G22 Climate Change & Development Corporate Plan 2014-2015, OCCD Annual Report 2015.
2. Mandate and constituency		What is the current mandate or purpose of the organization? Who is the organization's primary constituency? The primary mandate of Climate Change Development Authority is to provide a regulatory framework to promote and manage climate-compatible development through climate change mitigation and adaptation activities in the country.	Office of Climate Change and Development Corporate Plan 2014-2016, CCDA Management Act (2015) and Climate Change Development Policy (2014)
3. Legal status		What is the organization's legal status? Has it met the legal requirements for operation in the programme country? Climate Change Development Authority is a government institution legally established by Parliamentary Act referred to as the Climate Change Development Management Act (2015)	CCDA Management Act (2015), Climate Change Development Policy (2014)
4. Funding		What is the organization's main source (s) of funds? The main sources of funding are from the government development funds for recurrent and program functions. CCDA also receives bilateral and multilateral funding agencies.	www.treasury.gov.pg OCCD/CCDA Annual Reports Project Documents, Annual Work Plans
5. Certification		Is the organization certified in accordance with any international standards or certification procedure? The CCDA Management Act (2015) certifies the organization as a national government institution which aligns to appropriate international standards to perform its roles and responsibilities.	CCDA Management Act (2015), Climate Change Development Policy (2014)
6. Proscribed organizations		Is the organization listed in any UN reference list of proscribed organizations?	No
PART II. PROJECT MANAGEMENT CAPACITY			

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
<p>2.1 Managerial Capacity</p> <p>1. Leadership and Commitment</p>	<p>Are leaders of the organization ready and willing to implement the proposed project? The CCDA management is supportive of this project as this is in response to national development plans and climate change priorities of the government.</p>	<p>Letter of Commitment, Interviews, PC (personal communication).</p>
<p>2. Management experience and qualifications</p>	<p>Which managers in the organization would be concerned with the proposed project? What are their credentials and experience that relate to the proposed project? Do these managers have experience implementing UNDP or other donor-funded projects? The project will be under the leadership and direction of CCDA's Managing Director with the support and guidance of the CCDA Director Mitigation/Low Carbon Division and Manager, Low Carbon Growth Branch. These management team have relevant qualification and experiences having worked with other donor support climate change projects</p>	<p>CVs of managers. Interviews with managers. Reports of past projects.</p>
<p>3. Planning and budgeting</p>	<p>Does the organization apply a results-based management methodology? Are there measurable outputs or deliverables in the strategies, programmes and work plans? Are budgets commensurate with intended results? How do planners identify and accommodate risks? CCDA Management Act (2015) outlines its core functions supported by the Climate Change Development Policy (2014) that are consistent with national development plans and strategies. The CCDA Corporate Plan guides the annual implementation plans towards achieving the national climate change goals and targets The annual national budget allocations reflect the annual implementation plans and targets. Risks are monitored on a quarterly basis including divisional and project board meetings to ensure appropriate mitigation measures are in place.</p>	<ul style="list-style-type: none"> • Vision2050, Development Strategy Plan (2010-2030), Medium-Term Development Plan (2010-2017), Strategy for Responsible Sustainable Development (2015) • Framework for the National Climate Change Strategy and Action Plan (2010) • Climate Compatible Development Strategy (CCDS) (2010) • Interim Action Plan (IAP) for Climate-Compatible Development • Project and programme documents. • Annual Work plans and budgets and Annual Progress Reports
<p>4. Supervision, review, and reporting</p>	<p>How do managers supervise the implementation of work plans? How do they measure progress against targets? How does the organization document its performance, e.g., in annual or periodic reports? How are the organization's plans and achievements presented to stakeholders?</p>	<ul style="list-style-type: none"> • Annual reports, presentation to stakeholders. • Internal reports. • Evaluation reports. • Lessons-Learned reports.

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
	<p>Does the organization hold regular programme or project review meetings? Are such meetings open to all stakeholders?</p> <p>Are the organization's activities subject to external evaluation? How does the organization learn and adapt from its experience?</p> <p>The managers supervise staff and oversee implementation of work plans based on approved guidelines and standards for monitoring progress accordingly agreed implementation schedule and review timelines. Assessment of work plans progress is reflected in staff key result areas. CCDA performance is captured in annual reports, meetings reports and project board meeting minutes while communication of development results is through the formally established Low Carbon Technical Working Group and similar working groups for climate change mitigation and adaptation.</p> <p>CCDA promotes stakeholder inclusive engagement in all its planned annual activities including period annual reviews and evaluations.</p>	
5. Networking	<p>What other organizations are critical for the successful functioning of this organization? How does the organization conduct relations with these organizations? Is the organization a party to knowledge networks, coordinating bodies, and other fora?</p> <p>CCDA has an extensive network with government agencies, private sector, and civil society organization, bilateral and multilateral partners. Engagement with these stakeholders is through various national, regional (Secretariat of Pacific Community, Pacific Islands Forum, Secretariat of the Pacific Regional Environment Programme) and international forums (Coalition of Rainforest Nations) including CCDA led Technical Working Groups for Low Carbon Growth, REDD+, National Communications, Climate Change Adaptation and Mitigation</p>	<ul style="list-style-type: none"> • CCDA Long-term Strategic Planning for Organizational Restructuring-Final Report and Recommendations: October 2016; OCCD Corporate Plan 2014-2016. • Terms of References for Technical Working Groups
2.2 Technical Capacity		
1. Technical knowledge and skills	Do the skills and experience of the organization's technical professionals match those required for the project? Would these professionals be available to the project?	<ul style="list-style-type: none"> • See information on CVs of technical personnel/staff. • Knowledge network membership. • Technical library facilities.

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
	<p>Does the organization have the necessary technical infrastructure (e.g., laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project?</p> <p>How do staff members of the organization keep informed about the latest techniques and trends in their areas of expertise?</p> <p>What external technical contacts and networks does the organization utilize?</p> <p>What professional associations does the organization and/or its professional staff belong to?</p> <p>CCDA has limited expertise required for the project however capacity development is ongoing and relevant staff currently engaged in project design will be available for implementation phase. Consistent with the mandate of CCDA to coordinate climate change initiatives in the country, relevant technical agencies have been identified to collaborate for the implementation of the project. The project will utilize the Low Carbon Growth Technical Working Group, GHG Technical Working Group and National Communications Technical Working Group. Thus, certain technical functions are outsourced to the relevant institutions.</p>	<ul style="list-style-type: none"> • Reports from participation in international, regional, national or local meetings and conferences and workshops or trainings and online research. • Members of Technical Working Groups (i.e. REDD+, Low Carbon Growth, Adaptation and National Consultation) • Facilities description: Information on facilities.
PART III. ADMINISTRATIVE AND FINANCIAL MANAGEMENT CAPACITIES		
3.1 Administrative capacity. Note: Answer only questions that are relevant to the proposed project.		
1. Facilities, infrastructure and equipment	<p>Does the organization possess sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities, particularly in relation to the requirements of the project?</p> <p>Can the organization manage and maintain the administrative and technical equipment and infrastructure?</p> <p>CCDA has all adequate technical and administrative capacities to deliver its mandate on climate change in PNG. It has well established units handling technical and operational functions of the office including office equipment.</p>	<ul style="list-style-type: none"> • Equipment and facilities available for project requirements. • CCDA Management Act (2015), Divisional work plans, Summary of financial performance on budget.
2. Procurement and contracting	<p>Does the organization have the legal authority to enter into contracts and agreements with other organizations? Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?</p>	<ul style="list-style-type: none"> • CCDA Climate Change Management Act (2015) • Public Service Management Act 2014. • Public Finance Procurement Manual. • Audit reports, Department of Personal Management.

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
	<p>Does the organization have dedicated procurement capacity? Do procurement personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written procurement procedures?</p> <p>Is there evidence that the organization conducts procurement on the basis of best value for money, transparency, and effective international competition?</p> <p>Does the organization have a system and procedures for asset management and inventory control?</p> <p>Yes to all the questions above.</p>	<ul style="list-style-type: none"> CVs of procurement personnel or Capacity Needs Analysis (Procurement Personnel). CCDA HR Manual (ref CCDA Act PSGO). CCDA Assets Inventory.
3. Recruitment and personnel management	<p>Does the organization have the legal authority to enter into employment contracts with individuals? Yes</p> <p>Does the organization have dedicated personnel capacity? Do recruitment personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written recruitment procedures? Yes</p> <p>Is there evidence that the organization conducts recruitment objectively on the basis of competition, fairness, and transparency? Yes</p> <p>Does the organization have a salary scale that would apply to project personnel? Yes Would that scale inhibit the hiring of the best candidates? No</p>	<ul style="list-style-type: none"> Climate Change Management Act (2015) provides the basis of legal authority. Public Service General Orders. Job descriptions or Personal specification profile. Documentation of recruitment processes. Files of Potential job candidates CVs of recruitment personnel. Human Resource Documents on Salary Classification.
3.2 Financial Management Capacity		
1. Financial management and organization personnel	<p>Does the organization have written rules and regulations for financial management that are consistent with international standards? Does the organization have a dedicated finance unit? Yes</p> <p>Do finance managers and personnel have skills and experience that are appropriate to the requirements of the project? Is the existing financial management capacity adequate to meet the additional requirements of the project? Yes</p> <p>Do finance personnel have experience managing donor resources? Yes</p>	<ul style="list-style-type: none"> Department of Personnel Management, Public Service General Orders-International reporting guidelines. A bank account or bank statements Interviews with financial management staff Finance manual (ref CCDA Climate Change (Management Act, Public Service General Orders) Information on Annual Financial Report
2. Financial position	<p>Does the organization have a sustainable financial position?</p>	<ul style="list-style-type: none"> See information on Organizations Annual Financial Reports and statements

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
3. Internal control	<p>What is the maximum amount of money the organization has ever managed? If the proposed project is implemented by this organization, what percentage of the organization's total funding would the project comprise?</p> <p>Does the organization maintain a bank account? Does the organization have written rules and procedures on segregation of duties for receipt, handling and custody of funds? How does the organization ensure physical security of advances, cash and records?</p> <p>Does the organization have clear written procedures and internal controls governing payments? How does the organization ensure that expenditures conform to their intended uses? Does the organization have a policy requiring two signatures for payments over a defined limit?</p> <p>Is there any evidence of non-compliance with financial rules and procedures?</p>	<ul style="list-style-type: none"> • K25 million less financial statements on Adaptation Fund • Amount minus gov't grant • Information on Operating Trust Account • Public Finance Management Act-Financial rules and regulations under the Financial Management Manual • Acquittals-financial statements • Payment processing • Less than K300 000
4. Accounting and financial reporting	<p>Are accounts established and maintained in accordance with national standards or requirements?</p> <p>When and to whom does the organization provide its financial statements?</p> <p>Can the organization track and report separately on the receipt and use of funds from individual donor organizations?</p> <p>Is there any evidence of deficiencies in accounting or financial reporting?</p>	<ul style="list-style-type: none"> • Yes, description of accounting system and reporting arrangements- Department of Personnel Management & General Orders • Public Service Financial Management Manual
5. Audit	<p>Is the organization subject regularly to external audit? Is audit conducted in accordance with international audit standards? Are audit findings public? If so, have the organization's financial audits produced any significant recommendations for strengthening of financial systems and procedures?</p> <p>Have audits identified instances non-compliance with rules and procedures or misuse of financial resources? What has been done to carry out audit recommendations?</p>	<ul style="list-style-type: none"> • Audit reports- External audit by the PNG Auditor General's Office • Audit follow up reports
Additional Questions		
Topic	Question	Responses
Legal Status	What is the organization's legal status? Has it met the legal requirements for operation in the programme country?	<ul style="list-style-type: none"> • Yes, the organization's legal status is defined by the Climate Change (Management) Act 2015, • Ratification of Paris Agreement has become PNG Domestic Law

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	REFERENCE DOCUMENTS AND INFORMATION SOURCES
Proscribed Organizations	Is the organization listed in any UN reference list of proscribed organizations?	<ul style="list-style-type: none"> No
Leadership Commitment	Are leaders of the organization ready and willing to implement the proposed project?	<ul style="list-style-type: none"> Leadership is willing to implement the proposed project.
Management Experience and Qualifications	Which managers in the organization would be concerned with the proposed project? What are their credentials and experience that relate to the proposed project? Do these managers have experience implementing donor-funded projects?	<ul style="list-style-type: none"> Managers have qualifications and experience- Manager Mitigation Branch
Technical Knowledge and Skills	Do the skills and experience of the organization's technical professionals match those required for the project? Would these professionals be available to the project?	<ul style="list-style-type: none"> Organization Technical personnel lack skills and experience related to the proposed project however will be available for the proposed project.
Procurement	Does the organization have the legal authority to enter into contracts and agreements with other organizations? Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?	<ul style="list-style-type: none"> The Climate Change (Management) Act 2015 provides the legal authority to enter into any contracts and agreement.
Recruitment	Does the organization have the legal authority to enter into employment contracts with individuals?	<ul style="list-style-type: none"> The Climate Change (Management) Act provides that legal authority.
Financial Management	<p>Does the organization maintain a bank account?</p> <p>Does the organization have written rules and regulations for financial management that are consistent with international standards?</p> <p>What is the maximum amount of money the organization has ever managed? If the proposed project will be implemented by this organization, what percentage of the organization's total funding would the project comprise?</p> <p>Can the organization track and report separately on the receipt and use of funds from individual donor organizations?</p> <p>Is the organization subject regularly to external audit?</p>	<ul style="list-style-type: none"> Organization does not have a bank account, but it has Trust Accounts with Bank of South Pacific. PNG's Public Financial Management Act governs financial management of CCDA. Proposed project budget amounts to over 80% of organization's total funding on climate change mitigation Organization does not have the capacity to track and report separately on receipt and use of funds from donor organizations. Yes, CCDA is subject to regular audit by PNG Auditor General's Office.

Annex F: Project Board Terms of References for Project Board and Project Team / PMU

PROJECT BOARD

Composition and organization: The Project Board contains three roles, including (1) **an executive**: individual representing the project ownership to chair the group; (2) **senior supplier**: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project; and (3) **senior beneficiary**: individual or group of individuals representing the interests of those who will ultimately benefit from the project.

I. Specific responsibilities

1. Initiating a project:

- Agree on PM's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

2. Running a project:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

3. Closing a project:

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

II. Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure that there is a coherent project organization structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level

- Brief Outcome Board and relevant stakeholders about project progress
- Organize and chair Project Board meetings

III. Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. This role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

IV. Senior Supplier

The Senior Supplier represents the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

PROJECT TEAM

Team Leader

The Team Leader will supervise a team of experts to deliver a range of results. The Team Leader will work closely with Government's Climate Change and Development Authority, and particularly, its adaptation division. The Team Leader will:

- Lead consultations on a range of areas with stakeholders at the national and provincial levels.
- Work closely with, and supervise, a team of experts to ensure activities are delivered on time, within budget and to a quality that meets the expectations of UNDP and Government. This should be done consistent with annual work plans and other direction.
- Communicate relevant and critical information to key implementing partners and Project stakeholders including the Project Board through UNDP.
- In consultation with the Project Management Team (PMU), prepare and conduct Project Board meetings as and when required.
- Identify and document issues and risks that are related to the Project's design, develop mitigation measures against such risks and ensure these are implemented.
- Provide technical support to the Provincial Climate Change Committees (PCCCs) established in the provinces to oversee, make decisions and coordinate climate change interventions at the provincial level.
- Establish linkages at national and sub national level to leverage off existing resources as well as advising on available resources that in the long run contribute to required results as planned.
- Drive procurement of materials and equipment deemed necessary to support the implementation of the Project by adhering to the standards and processes required by UNDP.
- Provide technical advice and support the operational functioning of Provincial Advisory Committees (PAC's) in the 4 Provinces and AROB.
- Ensure the administrative and financial management of the Project is delivered consistent with UNDP's rules and regulations.
- Conduct any other tasks requested by the UNDP Country Office.

Deputy Team Leader

The Deputy Team Leader will provide proactive leadership in supporting key tasks as specified in this Terms of Reference (TOR) in line with the project document translated into the Project's annual work plans, including any other tasks deemed necessary by UNDP. The Deputy Team leader will assist the Team Leader in the implementation of activities in the five target provinces including effective communication with the national and sub national stakeholders and Project beneficiaries. In doing so, the Deputy Team Leader will establish strategic linkages and networks at national and subnational levels for the effective and efficient implementation of the Project.

The Deputy Team Leader will specifically:

- Assist in providing technical support during the Project's mobilization stage including planning and implementation.
- Establish contacts and network with key stakeholders at the national and provincial levels to provide timely inputs and assistance as and when required for the efficient delivery of the Project's outputs.
- Provide technical advice and guidance to provincial stakeholders including District Development Authorities, target communities and the Project team.
- Undertake field visits to target Provinces including the islands and atoll communities as and when required.
- Lead inception workshops with the stakeholders at the national and provincial levels.
- Supervise technical experts to ensure activities are implemented on a timely manner as planned.

- Assist the Team Leader in communicating relevant and critical information with key implementing partners and other Project stakeholders including Project Board (PB) members through UNDP.
- Together with the Team Leader, and in consultation with the BRCC Project Management, prepare and conduct PB meetings as and when required.
- Closely monitor the progress of activities against the approved annual work plan and ensure all activities are on track and within budget.
- Identify and document issues and risks that are related to the Project and design mitigation measures against risks.
- Lead and provide technical support to Provincial Climate Change Committees (PCCCs) established in provinces to oversee, make decisions and coordinate climate change interventions at the provincial level.
- Provide inputs into results produced by the Project before they finalized and endorsed by the respective national and subnational authorities.
- Lead by providing an oversight role in management and procurement of necessary materials and equipment deemed necessary to support the implementation of the Project by adhering to the standards and process as agreed by UNDP.
- Provide technical advice and support on the operational functioning of Provincial Advisory Committees (PAC's) in the four (4) provinces and AROB.

Project Manager

The Project Manager (national profile) has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner contracts the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- (a) Provide direction and guidance to project team(s)/ responsible party (ies)
- (b) Liaise with the Project Board to assure the overall direction and integrity of the project
- (c) Identify and obtain any support and advice required for the management, planning and control of the project
- (d) Responsible for project administration
- (e) Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan
- (f) Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work
- (g) Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required
- (h) Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures
- (i) Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports
- (j) Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis
- (k) Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log
- (l) Capture lessons learned during project implementation

- (m) Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
- (n) Prepare the Annual Project Report and submit the final report to the Project Board
- (o) Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- (p) Identify follow-on actions and submit them for consideration to the Project Board
- (q) Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board.

Financial and Administrative Assistant

The Financial and Administrative Assistant will support the Project Manager in the day-to-day administration of the project.

Specific responsibilities include:

- (a) Support to Programme Planning and Coordination.
- (b) Work with the Project Manager and Senior Adviser Climate Change on project operations including the preparation of work plans and budgets allocations.
- (c) Prepare documentation to ensure the flow of funds for project implementation occurs on a timely basis.
- (d) Provide oversight of financial management and procurement processes to ensure they are conducted in accordance with partner guidelines.
- (e) Prepare project financial reports and submit to relevant officials for clearance.
- (f) Check and ensure all expenditure under the project are in accordance with relevant procedures.
- (g) Provide assistance to organizing events, including workshops, seminars, and meetings.
- (h) Identify potential opportunities for linkages and synergies between existing programmes.
- (i) Reconcile all balance sheet accounts and keep a file of all completed reconciliation.
- (j) Other tasks as directed to support the project.

Annex G: Milestone Based Payment Schedule – ADB template

#	Deliverable	Target Completion Date	Amount Paid at Quarter Commencement
1	<p>Submission and acceptance of Milestone Completion Report containing</p> <ul style="list-style-type: none"> • 21 climate change vulnerability assessments plans (CCVAPs). • 21 awareness raising campaigns/community consultations reports. • 21 investment priority plans endorsed/approved by communities. 	Q2 2020	25% (US\$ 749,790)
2	<p>Submission and acceptance of Milestone Completion Report containing</p> <ul style="list-style-type: none"> • 5 Provincial Training completion reports on SGF applications and investment plan • Submission and acceptance of all SGF applications (from 21 island communities) • 9 resource assessment reports on fisheries ecosystems and food security • 9 Community Training Completion Report on reef and coastal management and other food security initiatives • 5 workshop completion report (one in each province and AROB) in formulating, facilitating and mainstreaming climate change adaptation plans into the LLG, district and provincial development plans. 	Q4 2020	25% (US\$ 749,790)
3	<p>Submission and acceptance of Milestone Completion Report containing</p> <ul style="list-style-type: none"> • Completion report of <u>nine</u> home gardens demonstrated (as adaptation measures against climate change) in identified target communities. • Completion report of <u>nine</u> mangrove forest rehabilitation demonstrated. • Completion report of <u>three</u> watershed rehabilitation demonstrated in communities adjoining target vulnerable islands. • Completion report of <u>nine</u> food processing and preservation initiatives piloted in nine island communities (with 50% women participation). 	Q2 2021	25% (US\$ 749,790)

#	Deliverable	Target Completion Date	Amount Paid at Quarter Commencement
	<ul style="list-style-type: none"> • 21 Gender-responsive disaster response strategies (developed in vulnerable island communities). • Completion report on the establishment of trained disaster management committees (one in each LLG) • Training completion report of 21 trainings (one in each island) conducted on emergency response 		
4	<p>Submission and acceptance of Final/Completion Report containing</p> <ul style="list-style-type: none"> • Completion report for all approved subprojects (21 islands communities) • Final sustainability report detailing long-term plan to sustain project progress and maintain infrastructure 	Q3 2021	25% (US\$ 749,790)

Annex H: Cost Estimate - ADB template

Selection 138026
 Project GRANT-0447 PNG: BRCC-CS-03 NGO Facilitation and Community Disaster Response Strategy (46495-002)
 Budget total USD 3,000,000
 Budget Type Maximum

International Inputs 33 PERSON MONTH
 National Inputs 322 PERSON MONTH

Expense Items									
Item Code and Name	Remarks	Quantity	Unit	Currency	Amount	Total USD			
1152 International Services	Team Leader/DRR Specialist	24	PERSON MONTH	USD	12,259	294,220			
1152 International Services	Non-Key experts (Intl)	7	PERSON MONTH	USD	20,000	140,000			
1153 National Services	Provincial Coordinators/Community Mobilizers	125	PERSON MONTH	USD	1,471	183,824			
1153 National Services	Deputy Team Leader/NRM Specialist	22	PERSON MONTH	USD	2,353	51,765			
1153 National Services	Non-Key experts	70	PERSON MONTH	USD	2,235	156,470			
1156 International	Team Leader & Non-Key Experts (Intl)	130	CALENDAR DAY	USD	250	32,500			
1157 National	National Specialists & Provincial Coordinators	600	CALENDAR DAY	USD	147	88,236			
1172 International	Team Leader & NKE	6	ROUND TRIP	USD	2,000	12,000			
1173 National	National Specialists	165	ROUND TRIP	USD	353	58,235			
1182 Miscellaneous	All team (national & international)	10	ROUND TRIP	USD	300	3,000			
1183 Land, Sea & Air Transport	Including boat/car hire & charters	14	VISITS/PROVINCE	USD	63,067	882,941			
Total Expenses Items:						1,903,191			
Provisional Sums									
Item Code and Name	Remarks	Quantity	Unit	Currency	Amount	Total USD			
1192 Communications	UNDP Team	24	MONTH	USD	1,000	24,000			
1192 Office running costs	UNDP Office (GOE/Sec, ISS, DPC)	24	MONTH	USD	4,363	104,700			
1192 UNDP Staff Charges	UNDP Staff Proforma costs	24	MONTH	USD	13,824	331,780			

1200 Equipment	Office equipment, field equipment	1	VARIOUS	USD	50,000	50,000
1300 Seminars, Workshops, Training	In POM and Provinces	89	EVENTS	USD	2,400	213,600
1400 Studies, Surveys and Reports		35	UNITS	USD	4,300	150,507
				Total Provisional Sums: 874,587		
				Sub-total: 2,777,778		
General Management Services (GMS)						
Item Code and Name	Remarks			Currency	Amount	Total USD
UNDP GMS Charges (8%)	As per ADB-UNDP MoU			USD	222,222	222,222
				Total GMS:		222,222
Grand Total:				3,000,000		

ⁱ It is expected that BRCC will have two manuals developed to guide sub-project design: one manual will be on operational aspects and the second one will be developed by SGF fund administrator on financial management.

ⁱⁱ UNDP will consider this arrangement with the existing PB structure allows for efficient implementation of the project, in line with the UNDP requirements. If this is not feasible, then UNDP, CCDA and Government will consider an alternative option (i.e. setting up a light PB for UNDP activities).