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**United Nations Development Programme
Project Document for Adaptation Planning / NAP (National Adaptation Plan) projects
financed by the Green Climate Fund (GCF)**

Project title: Advancing Papua New Guinea's National Adaptation Plan	
Country: Papua New Guinea	
Implementing Partner: UNDP	Management Arrangements: Direct Implementation Modality (DIM)
UNDAF/Country Programme Outcome: By 2020, Papua New Guinea demonstrates improved performance in managing environmental resources and risks emanating from climate change and disasters.	
UNDP Strategic Plan Output: 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis	
UNDP Social and Environmental Screening Category: EXEMPT	UNDP Gender Marker for the project output: 2
Atlas Project ID (formerly Award ID): 00104442	Atlas Output ID (formerly Project ID): 00106003
UNDP-GEF PIMS ID number: 6119	GCF ID number: NA
Planned start date: 1 February 2020	Planned end date: 1 August 2021
PAC meeting date: 12 December 2019	
<p>Brief project description: Climate change continues to negatively impact Papua New Guinea (PNG). This affects PNG's growth trajectory and the socio-economic opportunities people may otherwise enjoy. Building resilience to climate change has featured in national dialogue and political commitments for over a decade. Recognised as an acute challenge for PNG, Government and partners have committed to mainstream climate action in their planning and delivery. Major policy initiatives such as <i>Vision 2050</i> and the national <i>Strategy for Responsible Sustainable Development</i> have broadened efforts to include better natural resource management, conservation and sustainable growth. Growing legal architecture has supported these efforts. PNG's geography, its economic base, its exposure to external shocks and limited capacity across Government however, make these challenges difficult to address. A phased approach to adaptation planning with GCF support is suggested. This proposal will support PNG address these challenges during a first phase through the following 3 project outcomes:</p>	

Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened

Outcome 2: Climate change risks are integrated into key national and sectoral policies and NAP is formulated

Outcome 3: Financing framework for climate change adaptation action for medium-to long-term is established

The proposal furthermore closely aligns itself with ongoing relevant programmes aimed at mainstreaming climate change and reducing vulnerability such as a) USAID's Climate Change Ready Programme, b) GCF/GGGI supported GCF Readiness Support Programme, c) DfID's Climate Change Information and Knowledge Management Programme and complements the activities thus increasing efficiency and avoiding duplication of efforts.

A proposal seeking to continue these efforts under a second phase will be submitted to the Secretariat in due course.

The primary beneficiaries of the project 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.

FINANCING PLAN

GCF grant	USD 1,742,791.00
UNDP TRAC resources	USD -
Cash co-financing to be administered by UNDP	USD -
(1) Total Budget administered by UNDP	USD 1,742,791.00
PARALLEL CO-FINANCING (all other co-financing (cash and in-kind) administered by other entities, non-cash co-financing administered by UNDP)	
UNDP	USD -
Government	USD -
(2) Total co-financing	USD -
(3) Grand-Total Project Financing (1)+(2)	USD 1,742,791.00

SIGNATURES

Signature: Ruel Yamuna Managing Director Climate Change and Development Authority	Agreed by Government	Date/Month/Year: 28/02/20
Signature: Dirk Wagener Resident Representative UNDP Papua New Guinea	Agreed by UNDP as the Delivery Partner	Date/Month/Year: 27.2.2020

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II. DEVELOPMENT CHALLENGE

Papua New Guinea (PNG) occupies the eastern half of the rugged tropical island of New Guinea, sharing a border with the Indonesian province of West Papua. Apart from the island of New Guinea, the country has four large islands (Manus, New Ireland, New Britain and Bougainville) along with 600 small islands lying between the Coral Sea and the South Pacific Ocean.¹

PNG is exposed to hazards such as, earthquakes, tsunamis, volcanic eruptions, coastal flooding, inland flooding, landslides and drought. PNG's average annual rainfall varies from high and continuous (more than 8000mm) to low and seasonal (1500mm). Average annual rainfall is projected to increase over the course of the 21st century resulting in frequent and severe flooding in valleys and wetlands, both in lowlands and highlands. Similarly, average temperatures vary from tropical temperatures in the lowlands and islands to milder temperatures in the highlands.

The regional distribution of vulnerable population includes about 2.2 million people mainly in rural communities in the highlands, which are subject to weather extremes of heavy rainfall and drought. Increasingly, landslides are also occurring from population pressures on uncontrolled land-use. In coastal and island areas including many low-lying atolls, nearly 500,000 people in 2,000 coastal villages are vulnerable to weather extremes and inundation². Climate change is further expected to disrupt daily life, cause damage to assets and infrastructure, destroy livelihoods, and cause death or injury to the people³.

Over the past 25 years, the country has had over 600 earthquake-related fatalities, 9 deaths from volcanic eruptions, 2,182 from tsunami/wave surges, 47 from cyclones, 58 from flooding, 314 from landslides, and 98 from drought⁴. In March 2018, a 7.5 magnitude earthquake buried an entire village, killed 100 people and caused extensive damage to public infrastructures like roads, bridges, public schools, hospitals and rural health centers especially in the Southern Highlands province⁵.

In addition, the economic effects of disasters in PNG have been severe and manifold in the past, with the UN Office for Disaster Risk Reduction (UNISDR) reporting that over USD 23 millions of economic losses are directly attributable to disasters between 2005 and 2014 alone⁶. According to the Asian Development Bank (2013), the annual adaptation costs ranges between 0.41%-1.52% of the GDP while the economic costs of climate change itself is projected to reach 15.2% of GDP by 2100. Considering the already observed effects of climate change in PNG, it can be argued that investments in adaptation to climate change now will have long-lasting positive implications towards a climate resilient PNG. Even the severe flood that immediately followed by drought during 2015-2016 caused a slowdown in economic growth (IMF, 2017).

In light of the aforementioned climate related challenges threatening PNG's development, it is important to highlight the vulnerability of key sectors that support a majority of PNG's population living in rural isolated areas in the country. Nearly 40% of PNG's population (7.6 millions) still live under the poverty line, and subsistence agriculture accounts for 25% of the country's GDP, supporting more than 80% of the population (UNDP HDR, 2016). In 2017, IMF reported that the agriculture contribution to the nation's GDP dropped to about 18-20%. Similarly, as majority of PNG's population depend on creeks, streams and well for cooking and drinking, climate induced coastal and inland flooding is highly likely to contaminate freshwater sources, increase risk of water-borne diseases and create breeding grounds for disease carrying insects such as mosquitoes. These will have profound impacts on the health services where health infrastructure remains weak throughout the country. In addition, the overall infrastructure for communication, transport electricity and many others that are designed to last decades remain vulnerable as design decisions have not fully integrated the extent of climate change projection for these sectors in PNG. For example, the comprehensive provincial hazard analysis by RMSI (2014) projected that coastal flooding at the end of 21st century is likely to have a flood depth of <0.5->3.0 meters which confirms the vulnerability of infrastructure particularly airport, bridge, schools, aid posts, roads and Wewak township in East Sepik Province.

¹ PNG's Strategic Program for Climate Resilience, 2012

² Reducing the Risk of Disasters and Climate Variability in the Pacific Islands: PNG Country Assessment, 2014

³ PNG's Strategic Program for Climate Resilience, 2012

⁴ Reducing the Risk of Disasters and Climate Variability in the Pacific Islands: PNG Country Assessment, 2014

⁵ <https://reliefweb.int/report/papua-new-guinea/un-supports-government-papua-new-guinea-its-earthquake-response-efforts>

⁶ <https://www.preventionweb.net/countries/png/data/>

Development planning processes

With a goal to transform PNG into an emerging developing country, in 2009 the National Executive Council along with the National Planning Committee developed a 40-year development strategy, Vision 2050, to guide PNG's social economic development. Vision 2050 is underpinned by seven focus areas: Human capital development, gender, youth and people empowerment; Wealth creation; Institutional development and service delivery; Security and international relations; Environmental sustainability and climate change; Spiritual, cultural and community development; and Strategic planning, integration and control.

Strategy for Responsible Sustainable Development (StaRS) is another strategy aimed at redefining the development road map by prescribing a growth strategy based on green growth and sustainable development, with a focus on renewable resources rather than extractive activities. StaRS embraces and asserts the long-term development goals prescribed by Vision 2050 and feeds directly into the country's Medium-Term Development Plans, sector plans and annual budgets.

PNG's **Medium-Term Development Plans (MTDPs)** are 5-year development plans and serve as useful tools for governments and administrators preparing development plans and budgets, as they identify the strategic directions and priority sectors for Government investment and main indicators and targets needed to meet the development objectives. The MTDPs are aligned with PNG's Vision 2050. PNG is currently in its 3rd MTDP (2016-2020) cycle. The MTDPs can serve as vehicles for PNG's national adaptation planning, however in its current form, MTDP3 does not have a strong component on climate change adaptation.

As the country is exposed to frequent occurrences of natural disasters, PNG has developed effective disaster management and response strategies, including the *National Disaster Mitigation Policy* and *Disaster Risk Reduction and Disaster Management National Framework for Action*. The National Disaster Mitigation Policy focuses on reducing disaster risk throughout the country through establishment of institutional and legislative mechanisms, and people centred early warning system. As a result, in many villages, local village disaster committees are established. These committees offer ideal opportunities to integrate climate change resilience and reducing disaster risk into all levels of governance.

Alignment and synergies with a number of existing development and climate resilient policies and strategies will be crucial in successfully advancing the NAP process in PNG, in particular the National Strategy for Responsible Sustainable Development for PNG (StaRS), the National Climate Change Compatible Development Management Policy (NCCDMP).

Policy, Legal and Regulatory and Frameworks

PNG continued to make strong commitments to mitigate and adapt to climate change as demonstrated in 2014 as the first country to submit its **Intended Nationally Determined Contribution (INDC)** to the United Nations Framework Convention on Climate Change (UNFCCC). The INDC is consistent with the National Climate Change Development Management Policy (NCCDMP) wherein adaptation is high priority for the country and lists financial, capacity building and technical support as essential needs to improve efforts on adaptation measures. In 2015, PNG implemented the Paris Agreement through National Executive Council (NEC) endorsement of **Paris Agreement Act (2015)**. This Act confirms that the articles of the Paris Agreement are applicable to PNG and are legally binding. A robust NAP aligned with the NCCDMP will help raise ambition and provide a strong basis for adaptation component of the country's future NDCs.

These climate change related policies and legal frameworks are anchored under the National **PNG Planning and Monitoring Responsibility Act (2016)** and call for establishment of a national planning and delivery framework that incorporate the Sustainable Development Goals and linked to the country's annual budgets to its development priorities. A measurable adaptation planning framework through the NAP can serve to meet the requirements of the Planning and Monitoring Responsibility Act.

Environment Act of 2000, amended in 2014 lays the foundation for environment management planning and policy, environmental audit or investigation in PNG. The Act provides the administrative mechanism to evaluate impacts on the environment through an environmental approval and permitting system. In its current form climate change does not appear prominently. A review of the act as part of climate change adaptation planning along with a climate sensitive environmental impact assessment policy can further strengthen environmental governance in PNG.

The Act provides the administrative mechanism to evaluate impacts on the environment through an environmental approval and permitting system. The act is the sole legal framework requiring Environmental Impact Assessments (EIA) in the country and sets minimum standards. Climate change considerations are not adequately reflected in its current form.

National Climate Compatible Development Management Policy (NCCDMP), is PNG's blue print to achieve its visions of climate-resilient and carbon neutral pathway through sustainable economic development. The policy aims to provide a clear demarcation of the roles and responsibilities for coordination, implementation and review of climate change strategies, including but not limited to the utilization of existing service delivery mechanisms such as under the Organic Law on Provincial & Local Level Governments (OLPLLG). This Policy provides an avenue to foster greater indigenous participation from the community and ward level, encouraging District and LLG implementation. Furthermore, the country's NDC is informed by NCCDMP, and therefore a NAP anchored on the policy will ensure greater alignment with the country national priorities and international obligations, while ensuring sustainability in the medium-long term.

Climate Change (Management) Act of 2015 outlines government's priority areas on adaptation to climate change, as well as roles and responsibilities of the Climate Change Development Authority (CCDA), the country's primary authority on Climate Change. The Act also combines more than four trust funds and accounts into one unifying Climate Change and Green Growth Trust Fund Account to in part finance the initiatives of the CCDA. The CCDA regularly convenes a Technical Working Group on Adaptation (ATWG) to review, propose and approve the country's climate change adaptation related plans, policies, projects and programmes. The ATWG is composed of representatives from the CCDA, and other government sectors, private sectors, civil society organisations and development partners.

Although there are existing legislative and institutional frameworks designed to consider the current and projected impacts of climate change, environmental sustainability, green growth and sustainable development, it is important to encourage the evolution of these national strategies to integrate climate change adaptation specifically under each priority sector in order to strengthen national institutional capacity to build climate-resilience. A fundamental outcome of this proposal will involve a gap analysis on existing legislative frameworks in order to assess and identify potential entry points for mainstreaming climate change adaptation.

III. STRATEGY

Adaptation Planning Process

Efforts to pursue increased economic growth continue to raise the importance of strengthened legislative frameworks and appropriate policy settings that promote better governance of Papua New Guinea's unique natural resources, its biodiversity and how best to address the social, economic and environment impacts of climate change. Papua New Guinea is prone to natural disasters. It's current risk profile for such events places it among the world's 10 most vulnerable countries. Climate change will increase the impact of these events. Where such events are not climatic in nature (e.g. Tsunamis and volcanos), the growing stresses that climate change places on communities will only make recovery from such events longer and harder. Extreme weather events are projected to grow in regularity. We know from these previous experiences that this will impact agricultural production and increase food and water insecurity for much of the population. We can expect over this next few decades the internal displacement will grow as a direct result of disrupted weather patterns and more extreme weather events. From this, it is reasonable to assume the competition to resources, e.g. land, will raise tensions and increase conflict. The socio-economic fabric of Papua New Guinea reflects high levels of subsistence living. Rural and remote communities – which comprise approximately 80% of the population – are particularly vulnerable. Matters are complicated by aging infrastructure which in many instances lack the climate proofing necessary to withstand increases in landslides, flooding and more erratic weather patterns that growing climate variability brings with it.

The United Nations Development Assistance Framework for Papua New Guinea places climate change and disaster risk reduction at the centre of the United Nations efforts to support the country build resilience, support the strengthening of institutional capacity and develop appropriate policy settings that balance aspirations for growth with ensuring more sustainable stewardship of its natural resources. UNDP has, and continues to lead, on these efforts. It is a partner of choice to Government and communities in national, provincial and local efforts to address these challenges.

PNG's started planning for climate change adaptation with its Initial National Communication to the UNFCCC in 2000, followed by its Framework for National Climate Change Strategy and Action Plan in 2010 and more recently with its Climate Change Management Act of 2015. Furthermore, StaRS, NCCDMP and CCMA have already set a strong foundation for adaptation planning in the country.

PNG has additionally been a beneficiary of technical support from the SCCF-funded joint UNDP-UN Environment National Adaptation Plan Global Support Programme (NAP-GSP) since 2015. PNG further participated in a series of information exchange sessions during the 5th Asia Pacific Adaptation Forum in 2016. Following a request to UNDP from PNG's National Designated Authority (NDA) to the GCF in March 2018 to assist in advancement of its NAP, a series of discussions and consultations were led by UNDP Country Office, UNDP NAP-GSP team, and the CCDA, resulting in a stocktaking for the country in late 2017.

The recommendations from the stocktaking, which serve to guide this proposal, were validated during a 2-day workshop attended by a wide range of stakeholders, including various government departments, provincial governments, civil society, private sector, media, development partners and NGOs in Port Moresby in July 2017.

The recommendations from the consultations with the various stakeholders identified the priorities for the country and constitute the major components under this proposal. These priorities include a) strengthening institutional capacity to effectively coordinate the NAP process at the national and sub-national level with focus on 4 priority sectors⁷: agriculture, health, transport and infrastructure, b) facilitate integration of climate change adaptation priorities in existing national policies and sub-national sector policies, and c) strengthening of financing framework for adaptation action.

Institutional coordination for Climate Change Adaptation

The Climate Change and Development Authority, established in 2010, replacing the Office of Climate Change and Development, coordinates climate change efforts of the Government of Papua New Guinea, including climate related policies and actions in the country. Specifically, in 2015, the CCDA established an Adaptation Technical Working Group (ATWG) composed of members from government departments, private sector, development partners, NGOs, as well as provincial and local representatives. The ATWG serves as the primary multi-disciplinary and multi-sectoral advisory body to advise climate change adaptation related policies and guide interventions in the country, and is the ideal national platform to lead the NAP process.

The local village disaster committees, part of the National Disaster Mitigation Policy, as described above is a well-established sub-national structure that could serve as the interface of the CCDA-ATWG/national coordinating body at the local level, along with the provincial government authorities, and promote the government's vision to integrate climate and disaster resilience at all levels.

Sector integration

In terms of the sectors most affected by climate change, none with the exception of agriculture, have policies or frameworks that address climate change. Without sectoral plans that take into account climate change, the NCCDMP and the CCMA will largely remain ineffective. The consultations carried out in development of this proposal indicate that in order to address the legislative and political gaps, levels of awareness in climate change along with access to climate data need strengthening.

Of the 9 priority areas, Agriculture, Health, Transport and Infrastructure are 4 overarching and recurring sectors amongst the various national plans, and thus form the sectoral focus for intervention in this proposal. Please see Annex I for further details.

Existing sectoral policies that could provide entry points for CCA integration for the 4 priority sectors include:

- Climate Smart Agriculture Policy
- National Food Security Strategy
- National Roads Authority Act
- National Roads Maintenance Act

⁷ The priority sectors are listed as an annexure to this proposal

- National Building Board Standards
- Department of Works Corporate Strategic Plan 2015-2019
- National Health Plan 2010-2020
- PNG WASH Policy

Theory of Change

The problem that this proposal tries to address is that despite the existing policies and frameworks in place, climate change adaptation considerations are not sufficiently integrated into development planning and budgeting processes in PNG.

Barriers that are listed below, identified during the stock-taking exercise and validated during the stakeholders' consultations in July 2017, hamper the effective advancement of the NAP process in the country.

- a) **Insufficient technical and institutional capacity** to effectively coordinate and implement climate change across sectors, including limited awareness of impacts of climate change at sub-national levels
 - No technical capacity assessments have been undertaken for climate change integration within CCDA as the lead coordinating body, as well as within priority sector departments, apart from a rapid assessment conducted under the USAID's Climate Change Ready Project
 - The CCDA lacks appropriate technical capacity, tools and approaches to implement adaptation initiatives, especially at the sub-national level
 - While the ATWG serves to advise on adaptation policies and interventions through a systematic appraisal process, economic valuation/analyses are not employed to select adaptation options
 - Local authorities do not possess sufficient resources and technical capacities to support planning for and monitoring climate change at the local level.
- b) **Inadequate climate change adaptation budget allocations** to match the needs in adaptation as a result of **limited integration of climate change concerns** into planning and budgeting
 - The Environment Act, the sole legal framework requiring EIA does not adequately reflect climate change considerations and the assessments are carried out without due regard to climate change.
 - While the StaRS embraces climate concerns in its green growth strategy by promoting renewable resources, its vehicle, the MTDPs do not adequately reflect climate change priorities resulting in government budget that is not commensurate with the needs. The third MTDP is being drafted and provides a unique opportunity for this project to ensure climate change concerns are met.
 - 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.
- c) **Lack of awareness and limited sharing of climate change data**, resulting in lack of concerted and prioritized actions in the priority sectors
 - Although with the reorganization 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 populations (especially 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, such as National Agricultural Research Institute, however, these are not readily available for analysis and application by priority sectors due to a lack of a centralized information system.
- d) **Limited capacity to monitor climate change adaptation and inform policies and laws**
 - Understanding of CCA monitoring and evaluation through identification of criteria and methods of evaluation for adaptation interventions requires improving within CCDA
 - Lack of climate related expenditures tracking and budget coding limits the government's monitoring of adaptation investments as well as drawing of lessons to inform policies. The government's Integrated Financial Management System (IFMS), which is used by all departments currently does not include climate relevant expenditures and reporting.

To overcome the above barriers, the project proposes the following interconnected outcomes, that together aim to advance effective adaptation planning in PNG, with an overall objective to strengthen institutional and technical capacities for iterative development of NAP and effective integration of CCA into national and sub-national planning and budgeting processes. Furthermore, the activities are designed and sequenced to promote effective use of GCF financing by enhancing synergies with existing initiatives and programmes in PNG, while avoiding duplication of efforts.

Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened

- Review legal and policy barriers for integration of climate change into development planning
- Develop capacities of CCDA to steer the climate change coordination and integration process
- Strengthen mechanisms for regularly reviewing and updating adaptation priorities

Outcome 2: Climate change risks are integrated into key national and sectoral policies and NAP is formulated

- Establish a system for economic analysis and appraisal of priority adaptation options and integrate CCA priority interventions into the Environment Act, National Disaster Mitigation Policy and MTDP3, and sector specific policies in Agriculture, Health, Infrastructure and Transport
- Formulate NAP with specific focus on Agriculture, Health, Infrastructure and Transport sectors

Outcome 3: Financing framework for climate change adaptation action in medium-to long-term is established

- Strengthen the IFMS to track expenditures on climate change by introducing budget codes specific to climate change
- Develop a NAP financing and investment strategy, including development of 4 sector-specific idea notes on priority adaptation interventions to feed into PNG's country programme under the GCF Readiness project.

Through the above outcomes the project aims to support the Climate Change Management Act by ensuring minimum climate adaptation and compatibility standards and performance levels on various types of development works, along with a financing strategy to effectively sustain the adaptation planning process in PNG beyond the life of the project.

IV. RESULTS AND PARTNERSHIPS

Expected Results:

The project aims to strengthen institutional and technical capacities for iterative development of NAP and integration of climate change adaptation into national and subnational planning and budgeting processes in Papua New Guinea. 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.

To achieve the above, the project proposes 3 outcomes under a first phase of the GCF Adaptation Planning Readiness Support. Following successful completion of this project and informed by results of the expected outcomes, a second phase of the project will be proposed to address gaps in remaining 5 priority sectors, in addition to addressing gaps in regulatory frameworks and evidence base.

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 in a) development of technical capacity, indicators under Outcome 1, b) compilation of vulnerability assessments in Outcome 2, and c) financing strategy in Outcome 3 will be undertaken through a participatory and inclusive process, assured by the diverse vulnerable groups' representation in the ATWG at a minimum for these activities.

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

1. The coordination mechanism for multi-sectoral adaptation planning at different levels is strengthened

1.1 Barriers to integration of climate change into development planning and policies are reviewed, recommendations are made and key stakeholders are sensitized to climate change adaptation and development linkages

Through this output the project will aim to identify and remove legal and policy barriers to effective adaptation planning, as well as awareness gaps in the government by a) conducting in-depth review and barrier analysis and provide recommendations, b) raise awareness at various levels of government through the involvement of academia, faith-based institutions and civil society.

1.1.1 Analyse existing regulatory framework, policies and plans with entry points to identify opportunities to integrate climate risk considerations

Legal and policy experts will be contracted, and review of existing national and sectoral laws and policies will be conducted under this activity. Recommendations will also be made and validated to strengthen adaptation components in the regulations.

1.1.2 Sensitize key development planning and budgeting stakeholders on climate change adaptation, especially the Department of National Planning and Monitoring and Department of Finance, including priority departments such as Department of Agriculture and Livestock, Department of Transport, Department of Works and Department of Health and lawmakers

Sensitization of key planning and budgeting stakeholders, along with subnational actors will be conducted under this activity, informed by preliminary assessments conducted by USAID's Climate Ready project. This will be done through a series of workshops and trainings at national as well as provincial and local levels. Recommendations and action plan (report) will be further refined and included as part of the capacity development plan in 1.2.2.

1.1.3 Support implementation of CCDA's communication strategy on climate change in collaboration with the Department of Provincial and Local Government Affairs and with emphasis on reaching local and community-based organizations (including women's groups and churches) for medium to long-term planning

This activity will oversee development of promotional material in form of newspaper articles, radio and TV programmes, case studies, in cooperation with research institutions and media outlets in PNG, in addition to organizing events and/or trainings to disseminate the information. Furthermore, the project will cooperate closely with Adaptation Fund supported CCAF in identifying existing advocacy materials and transforming them into easily digestible content for various consumers (including but not limited to schools, churches, media) for maximum reach and impact, while minimizing potential duplication of activities.

1.2 Capacities of CCDA and ATWG members to steer climate change coordination and integration processes are developed

This output addresses the challenges of lack of existing capacity assessments for climate change integration and ineffective regulatory frameworks to advance the NAP by strengthening the CCDA, ATWG to steer adaptation planning, and assessing and conducting capacity building plan to coordinate CCA policies across sectors and levels of government.

1.2.1 Strengthen capacity of the National Designated Authority (GCF-NDA), the CCDA, and its Technical Working Group on Adaptation, to enable an active and participatory approach to advance adaptation planning in PNG

Under this activity, the steering committee's (CCDA and ATWG) TOR will be updated to support adaptation planning process, technical experts will be contracted to support the CCDA's coordination functions, and an action plan to develop and implement the NAP will be drafted and validated.

1.2.2 Conduct gap assessments focused on technical capacity related to climate change (climate change information, tools for integration, economic appraisal and prioritization of CCA interventions, project development, gender mainstreaming) for institutions part of the ATWG, and in particular Department of Agriculture and Livestock, Department of Transport, Department of Works, Department of Health, and local and village disaster committees to improve coordination across sectors and different levels of government to advance adaptation planning

Individual and institutional capacity gaps will be assessed for CCDA, ATWG and its constituent organizations with representation of national and provincial levels, and a capacity development plan will be drafted and endorsed under this activity.

1.2.3 Implement capacity development plan emanating from gaps assessments in areas of access and use of climate information, tools for integration, economic appraisal and prioritization of CCA, project development, gender mainstreaming, etc.

Capacity building plan from the previous activity will be implemented in this activity through agreements with national training institutions and subsequent trainings in the identified areas.

1.3 Mechanisms for regularly updating and reviewing adaptation are strengthened and feed into iterative adaptation planning process

Through this output the project aims to support capacity of the government in monitoring the effectiveness of adaptation action and iteratively updating adaptation plans by strengthening PNG's national portal on climate information system along with DFAT's iCLIM programme and the National Weather Service, as well as train relevant stakeholders on M&E of adaptation interventions.

- 1.3.1** *Identify appropriate indicators to monitor climate change impacts with focus on gender sensitive indicators, in collaboration with DFAT's iCLIM project and align with IKM project outputs*
Gender-disaggregated indicators and data collection procedures for climate change will be developed and integrated into the existing IKM system under this activity.
- 1.3.2** *Strengthen the IKM project to include climate change adaptation related database accessible to all stakeholders*
This activity will oversee addition of database layers to complement the IKM national portal (centralized repository of weather and climate related data) for public dissemination.
- 1.3.3** *Capacity building of relevant stakeholders and levels of government to report on and utilize information for decision making on adaptation, specifically at provincial and local levels*
A series of training workshops will be conducted under this activity to familiarize key stakeholders on M&E of adaptation, using existing and ongoing projects and programmes.
- 1.3.4** *Document lessons learned and best practices of adaptation interventions to encourage scaling up of successful approaches*
Lessons from adaptation interventions in the country are compiled on an ongoing basis and best practices are shared through the national portal in this activity.

2 Climate change risks are integrated and reflected in the Environment Act, the National Disaster Mitigation Policy and MTDP3 and NAP is formulated

2.1 System for economic analysis and appraisal of adaptation options is established and CCA priority interventions are integrated into Environment Act, National Disaster Mitigation Policy and MTDP3

Under this output, a system for economic analysis and appraisal of adaptation options will be established and climate risk and priority interventions integrated into PNG's strategic plans. Training will also be conducted in application of tools for economic appraisal of adaptation options. This output aims to tackle the barrier related to inadequate budget allocation to match the needs for adaptation.

- 2.1.1** *Develop a system to appraise individual adaptation options, including costs and benefits for unintended impacts of adaptation measures in PNG*
Economic valuation tools such as CBA, CEA, MCA will be adapted and adopted along with guidelines for integration and prioritization in the priority sectors. Training on valuation and prioritization will also be conducted for the 4 sector ministry officials and DNPM and DOE personnel in this activity.
- 2.1.2** *Align CCA and development priorities by strengthening CCDA and ATWG and linking with the PNG's strategic plans*
CCA and development priorities will be aligned with national and sectoral plans, CCA indicators will be aligned to SDG/NDC and CCA criteria will be integrated into the country's EIA under this activity.
- 2.1.3** *Ensure CCA integration at provincial and local levels*
Under this activity, guidelines developed under 2.1.1 will be adapted to provincial and local levels and sub-national authorities will be trained through workshops. NAP and priority adaptation interventions will also be consulted and validated through this activity (linked to 2.2)

2.2 PNG's National Adaptation Plan is formulated with specific focus on agriculture, health, transport and infrastructure

This output will aim to tackle the lack of concerted and prioritized actions in the key sectors in PNG through review and compilation of available scientific information including vulnerability assessments for the priority sectors and drafting of the NAP with specific focus on the four sectors.

- 2.2.1** *Compile existing information for key priority areas, namely agriculture, health, transport, and infrastructure (result of which will also inform NAP development in 2.2.3)*

Existing vulnerability assessments, in particular for the 4 priority areas will be reviewed under this activity, with focus on gendered impacts of climate change in the various sectors.

2.2.2 *Identify and appraise options for climate change adaptation in the 4 priority sectors based on findings from the review in 2.2.1*

Options for adaptation action in the priority sectors will be identified, prioritization tools will be selected and options prioritized through stakeholder consultations under this activity.

2.2.3 *Establish a multi-disciplinary drafting team composed of members of the ATWG and technical experts to compile available technical studies from the national communications and other relevant initiatives, including options appraisal in 2.2.2, 2.1.1 and draft the NAP for PNG*

Multi-disciplinary drafting team will be formed. Informed by preceding activities, NAP for PNG will be drafted through broad consultations, peer reviewed and validated under this activity. PNG's NAP will furthermore be submitted to the UNFCCC under this activity.

3 Financing framework for climate change adaptation action for medium-to long-term is established

3.1 A NAP financing and investment strategy is developed through consultative process

Activities under this output will facilitate the development of a gender-sensitive financing and investment strategy (informed by results of outcomes 1 and 2) for adaptation planning in PNG to further the integration of CCA within the planning process tackling the barriers. An integrated financial management system to track expenditures on climate change adaptation, including budget codes will further be developed under this output.

3.1.1 *Develop CCA markers and budget codes and integrate into IFMS to track adaptation investments in country in close collaboration with DoF and DNPM*

Criteria for adaptation related activities in public investment programs, along with relevant markers will be identified and validated; the government's Integrated Financial Resources Management System will be updated with CCA relevant budget codes to track investments in adaptation and DNPM and DOE officials will be sensitized through training workshops.

3.1.2 *Develop NAP financing and investment strategy through consultative process with public and private sector as well as community and vulnerable group stakeholders, in close collaboration with the GCF Readiness Support project.*

In collaboration with PNG's GCF Readiness Support Programme, NAP financing and investment strategy will be developed under this activity. A report will also be produced on sources of public and private funding sources as part of this activity.

3.1.3 *Develop 4 project idea notes for priority sectors (agriculture, health, transport and infrastructure), in close collaboration with the GCF Readiness Support project. These proposals will be developed based on assessments and information readily available*

Technical assessments will be conducted and 4 idea notes will be developed and validated through consultations as part of this activity.

To ensure targets identified are realised and ownership of the deliverables are promoted, the CCDA will conduct regular monitoring of progress of project implementation through quarterly and annual reporting, as well as Project Board meetings with UNDP as Implementing Agency. The CCDA, as the mandated coordinating entity on climate change in PNG has structures and instruments in place to maintain communication, monitor and most importantly sustain the interventions proposed in this project. It will therefore further support the project with an exit strategy ensuring that all project outputs are owned by the relevant stakeholders for further dissemination and scaling-up, and project achievements and lessons learned are codified and widely shared. All partners including sector agencies of the government are further required to align their policies, plans and strategies to the MTDP III, which will also be supported by the proposed NAP project ensuring sustainability.

Partnerships:

Of the numerous ongoing activities in PNG related to climate change adaptation mainstreaming and climate resilience, there are 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 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 NAP project will draw on lessons from the PPCR, particularly with regard to infrastructure sector and community-based adaptation actions in proposing priority adaptation options under sub-outcome 2.2.

In addition to the above, a notable project in development is '**Strengthening Multi-sectoral Adaptation Responses Through Climate-related information (SMART Climate)**', supported by UNDP, and very relevant to the NAP process in developing a framework for climate vulnerability assessments and early warning systems. Although this project is currently in the pipeline for approval, once in effect it will support the NAP process through the development of a framework of vulnerability assessments that can guide and inform the integration of climate change adaptation into sectoral policies, plans and regulatory framework. The SMART Climate project aims to develop a multi-hazard early warning system composed of tools, products and feedback processes to ensure availability of timely and targeted climate knowledge to achieve national objectives across multiple sectors. Future iterations of PNG's NAP are expected to benefit from the information captured and generated from SMART Climate project, as well as assessments and gaps analysis under this project can serve to guide some work of the SMART Climate project.

The proposed project builds on the above existing frameworks and processes and cooperates with ongoing initiatives to strengthen PNG's capacity to effectively respond to climate change threats while avoiding duplication of efforts.

Risks and Assumptions:

This project proposal makes several assumptions:

- The project assumes that the government will support the strengthening of CCDA capacities and governing processes for CCA oversight;
- The project assumes that priority regions and sector ministries/agencies will fully participate in the project's activities;
- The project assumes that documentation and lessons learned from other projects will be made available to the implementation team, and that they will participate in the project's activities.

The project also envisages key potential organizational, financial and political risks in the successful and timely implementation of this project. Potential risks include:

- Problems related to involvement and cooperation of stakeholders to provide the project team with data from ongoing and past interventions, historical climatic data, lessons, etc.;
- Government will not have funds to sustain the national arrangements after the completion of this project;
- Conflicts among stakeholders as regards their roles in the project resulting in potential duplication of efforts;
- Lack of political will to support the project;
- Limited capacity within relevant ministries and/or insufficient qualified human capacity;
- Exclusion of vulnerable or affected stakeholders from fully participating in the project and decisions that may affect them; and
- Lack of qualified expertise / Recruitment capacity.

A set of countermeasures as a response to these risks are proposed as part of Annex F, and designed into the proposal to minimize the impacts of these potential risks.

Stakeholder engagement:

PNG remains committed to enhancing its climate change adaptive capacity and has initiated steps to prepare a NAP through country-driven, inclusive and multi-stakeholder engagement process with the aim of advancing adaptation planning. It is within this context that PNG requested support from United Nations Development Programme in March 2017 as its delivery partner to access the Readiness and Preparatory Support funds.

Subsequently, UNDP supported a review process of existing policies, plans, strategies and programmes in June-July 2017, followed by a 2-day stakeholders' consultation workshop and a NAP training in Port Moresby in August 2017. 50 participants from a wide range of organizations and government departments were consulted, including:

- Climate Change Development Authority
- Coastal Fisheries Development Agency
- PNG Science and Technology Secretariat
- Department of Agriculture and Livestock
- PNG Coconut Industry
- Oil Search Limited
- Morobe Provincial Administration
- Manus Provincial Administration
- Milne Bay Administration
- Eastern Highlands Provincial Administration
- National Agricultural Research Institute
- Mineral Resources Authority
- United States Agency for International Development (USAID)
- Department of Foreign Affairs and Trade (DFAT- Australia)
- Health Department
- The Nature Conservancy
- PNG Center for Locally Managed Areas
- The National (News Media)
- Post Courier (News Media)
- International Organization for Migration
- The Justice Department
- United Nations Development Programme
- Food and Agriculture Organization of the United Nations (FAO)
- World Vision
- Child Fund

Furthermore, throughout the development and review of this readiness proposal, the ATWG and other relevant stakeholders were actively engaged and provided invaluable inputs in refining the activities.

A stakeholder mapping exercise which was conducted during the consultation, revealed that broadening stakeholder involvement would provide more effective guidance to the NAP process. The inclusion of various sectors and levels of government as part of a broad-based advisory body on adaptation planning, would strengthen the process to formulate and implement NAP in PNG.

In implementing the activities, the proposed project will continue to engage stakeholders, especially the provincial and local level governments from the 4 priority sectors (agriculture, health, transport and infrastructure), faith-based organizations, NGOs, vulnerable groups and private sector representatives, as part of the country's Technical Working Group on Adaptation.

South-South and Triangular Cooperation (SSTrC):

Papua New Guinea is prone to natural disasters. It's current risk profile for such events places it among the world's 10 most vulnerable countries. Climate change will increase the impact of these events. Where such events are not climatic in nature (e.g. Tsunamis and volcanos), the growing stresses that climate change places on communities will only make recovery from such events longer and harder.

There remains an under investment in disaster risk reduction in Papua New Guinea by both Government and Development partners with UNDP among the only development partners investing in these efforts.

Papua New Guinea is unfortunately not unique in this regard with many developing countries and emerging economies sharing similar vulnerability profiles. There is much experience and expertise from which Papua New Guinea can draw within this band of countries. Such discussions have already commenced. UNDP has facilitated a exchange of expertise and lessons learnt with regional neighbors including Indonesia, Thailand, Fiji, Solomon Islands and India. These have aimed at building South-South and triangular cooperation.

Papua New Guinea, like many of these countries, is exposed to extreme weather events including flooding and droughts. Such events will directly impact efforts to increase the contribution of key sectors such as agriculture to the economy. UNDP will support Government to draw on such experiences and expertise in development and roll out of the national action plan.

Sustainability and Scaling Up:

The key elements of NAP, that ensure the project's sustainability beyond international support are as follows: a) **Improved synergies and coordination are required** at the different levels of the economy, and horizontally, between the sectors affected by climate change, to reduce duplication of effort, pool scarce resources for effective use, and ensure a more coherent and comprehensive approach to integration of CCA responses into development planning; b) **Strengthened institutional, functional and technical capacities to plan for CCA** and improve the existing climate-related knowledge and evidence base to support more comprehensive and holistic assessment of climate risks, vulnerabilities and impacts; c) **Strengthened monitoring capacity** to ensure that knowledge and experiences gained during the implementation of adaptation activities (NAP) are effectively integrated into national and sectorial planning and management, and d) **Financing framework** and investment strategy to ensure climate change adaptation action is supported in the medium to long-term.

The potential to scale up the project is incorporated into the project design. Beyond the direct project replication measures, the potential is large – a NAP document under outcome 2 will outline prioritized action in targeted sectors that have a potential to be further developed into full funding proposals. Under the financing strategy in outcome 3, 4 project ideas will be developed that will form a part of the GCF engagement strategy for PNG.

V. PROJECT MANAGEMENT

Project management:

The project will be implemented following UNDP's Direct Implementation Modality (DIM), according to the Readiness and Preparatory Support Grant Framework Agreement between UNDP and the GCF.

Upon the request of the Government of Papua New Guinea, UNDP will serve as the Implementing Partner (IP) for this project. UNDP's services will be provided by staff in the UNDP Country Office (Port Moresby), UNDP Bangkok Regional Hub (Bangkok, Thailand), and UNDP Headquarters (New York).

UNDP will be responsible for administering resources in accordance with the specific objectives defined in the Project Document, and in keeping with its key principles of transparency, competitiveness, efficiency, and economy. The financial management and accountability for the resources allocated, as well as other activities related to the execution of project activities, will be undertaken under the supervision of the UNDP Country Office (UNDP CO) with the UNDP's Regional Technical Advisor in Bangkok. UNDP will provide support to the Project Manager in order to maximize its reach and impact as well as for the delivery of quality products. UNDP will undertake the internal monitoring of the project and of evaluation activities, taking into account from the outset local capacities for administering the project, capacity limitations and requirements, as well as the effectiveness and efficiency of communications between all institutions that are relevant to the project.

UNDP will be fully accountable for the effective implementation of this project. As the Implementing Partner, UNDP is responsible for providing a number of key general management and specialized technical support services. These services are provided through UNDP's global network of country, regional, and headquarters offices and units and include assistance in project formulation and appraisal; determination of execution modality and local capacity assessment; briefing and de-briefing of project staff and consultants; general oversight and monitoring, including participation in project reviews; receipt, allocation, and reporting to the donor of financial resources; thematic and technical backstopping; provision of systems, IT infrastructure, branding, and knowledge transfer; research and development; participation in policy negotiations; policy advisory services; programme identification and development; identifying, accessing, combining and sequencing financing; troubleshooting; identification and consolidation of learning; and training and capacity building.

The Project Management Unit will be based in the UNDP offices in Port Moresby and will carry out project implementation, with the support of a Financial and Administrative Assistant. The management arrangements for this project are summarized in section VIII below.

A technical team led by the Project Manager (national profile) will coordinate the overall project implementation, under the overall supervision of a Senior Climate Change Advisor and will be supported by international and national consultants, government officials and support staff to carry out the day-to-day management of the project, under the direct supervision of the Country Director and in close collaboration with UNDP partners and program specialists. His/her function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and submitted to UNDP. He/she is responsible for day-to-day management and decision-making for the project. His/her 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. He/she will be supported by a financial and administrative assistant for operational aspects of the project. The Project will also use any expertise (national or international) useful for the effectiveness of the actions to be undertaken.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁸ and the relevant GCF policy.

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁹ and the GCF Disclosure Policy¹⁰.

⁸ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁹ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

¹⁰ See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

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 GCF interim report format (Annex H)

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: By 2020, Papua New Guinea demonstrates improved performance in managing environmental resources and risks emanating from climate change and disasters.

OUTCOMES	BASELINE	TARGET	ACTIVITIES
1. The coordination mechanism for multi-sectoral adaptation planning at different levels is strengthened			
1.1 Barriers to integration of climate change into development planning and policies are reviewed, recommendations are made and key stakeholders are sensitized to climate change adaptation and development linkages	Regulatory and policy frameworks do not sufficiently address climate change adaptation.	Review of policies and plans conducted and reforms are initiated.	<p>1.1.1: Analyse existing regulatory framework, policies and plans with entry points to identify opportunities to integrate climate risk considerations</p> <ul style="list-style-type: none"> Legal and policy, institutional experts contracted (month 1) Key stakeholders, including sector representatives from agriculture, health, infrastructure, transport, and national lawmakers are consulted (months 2-3) Review of existing laws, policies and plans conducted, in close collaboration with DNPM (including Environment Act, National Disaster Mitigation Policy, MTDp3, and sectoral policies) (months 3-5) Recommendations from analysis carried out to integrate climate risk into existing frameworks, policies and plans are validated by the CCDA and ATWG (month 5) <p>Key deliverables:</p> <ul style="list-style-type: none"> Report on analysis of existing laws, policies and plans (month 5) <p>1.1.2: Sensitize key development planning and budgeting stakeholders on climate change adaptation, especially the Department of National Planning and Monitoring and Department of Finance, including priority departments such as Department of Agriculture and Livestock, Department of Transport, Department of Works and Department of Health and lawmakers</p> <ul style="list-style-type: none"> Sensitization workshops on climate change organized with CCDA, DNPM, DOF and other key planning and budgeting stakeholders. Preliminary assessments conducted by USAID's Climate Ready project will serve as the basis for targeted topics for these workshops. (months 2-3) Barrier analysis and recommendations (report) for action from key stakeholders is produced (months 3-4) Series of trainings and workshops conducted to sensitize provincial and local level stakeholders on the NAP process (months 4-18) <p>Key deliverables:</p> <ul style="list-style-type: none"> Action plan (report) on barriers to planning and budgeting in key sectors/stakeholder (month 4) Trainings and sensitization workshops (months 2-18) <p>1.1.3: Support implementation of CCDA's communication strategy on climate change in collaboration with the Department of Provincial and Local Government Affairs and with emphasis on reaching local and</p>

			community-based organizations (including women's groups and churches) for medium to long-term planning <ul style="list-style-type: none"> Materials (in form of case studies, radio and TV programmes, newsletters, etc) of existing best practices in adaptation planning developed in cooperation with CCDA, ATWG, iCLIM project, universities, media and research institutions (months 1-6) MoUs between CCDA and radios, TV stations and other community outreach groups signed and trainings, events conducted to disseminate climate change and DRM information (months 6-18) Key deliverables: <ul style="list-style-type: none"> Awareness raising materials developed (month 6) Materials disseminated (months 6-18)
1.2 Capacities of CCDA and ATWG members to steer climate change coordination and integration processes are developed	Limited technical capacity to coordinate climate change	Steering committee strengthened to support key functions of adaptation planning	<p>1.2.1: Strengthen capacity of the National Designated Authority (GCF-NDA), the CCDA, and its Technical Working Group on Adaptation, to enable an active and participatory approach to advance adaptation planning in PNG</p> <ul style="list-style-type: none"> Terms of Reference for the steering committee (CCDA/ATWG) updated with specific roles to guide the adaptation planning process (months 1-2) Technical experts on climate change adaptation, climate finance and M&E are recruited to support coordination role of the CCDA (months 1-3) An action plan to develop the NAP is drafted and validated (months 3-4) Key deliverables: <ul style="list-style-type: none"> Action plan (report) on NAP formulation (month 4) <p>1.2.2: Conduct gaps assessments focused on technical capacity related to climate change (climate change information, tools for integration, economic appraisal and prioritization of CCA interventions, project development, gender mainstreaming) for institutions part of the ATWG, and in particular Department of Agriculture and Livestock, Department of Transport, Department of Works, Department of Health, and local and village disaster committees to improve coordination across sectors and different levels of government to advance adaptation planning</p> <ul style="list-style-type: none"> Capacity gaps assessment at individual and institutional levels conducted, in addition to report produced in 1.1.2, and recommendations presented (months 3-4) Capacity development plan produced and validated through a workshop for institutions represented in the ATWG and including provincial and local level partners (months 4-5) Key deliverables: <ul style="list-style-type: none"> Assessment report on capacity gaps (month 4) Capacity development plan (report) (month 5) <p>1.2.3: Implement capacity development plan emanating from gaps assessments in areas of access and use of climate Information, tools for integration, economic appraisal and prioritization of CCA, project development, gender mainstreaming, etc.</p> <ul style="list-style-type: none"> Agreements signed with national training institutions and consultants recruited on specific areas of training (months 5-6) Training programme is implemented in identified areas in partnership with national universities and supported by national and international experts (months 7-18) Key deliverables:

1.3 Mechanisms for regularly updating and reviewing adaptation are strengthened and feed into iterative adaptation planning process	Limited information on monitoring and knowledge management system, and lack of gender-disaggregated climate change information	Gender sensitive indicators developed and at least 50 persons trained to update IKM national portal	<ul style="list-style-type: none"> - Training programme implemented (months 7-18) <p>1.3.1: Identify appropriate indicators to monitor climate change impacts with focus on gender sensitive indicators, in collaboration with DFAT's iCLIM project and align with IKM project outputs.</p> <ul style="list-style-type: none"> • Indicators with gender-disaggregated climate data collection procedures developed (months 3-5) • Indicators are integrated into IKM system (months 5-6) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Indicators and procedures developed (month 5) - Indicators integrated into IKM (month 6) <p>1.3.2: Strengthen the IKM project to include climate change adaptation related database accessible to all stakeholders</p> <ul style="list-style-type: none"> • Climate information collected, centralized, database layers created, in collaboration with iCLIM, populated and integrated within IKM national portal (months 6-12) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Climate information collected and integrated into IKM national portal (month 12) <p>1.3.3: Capacity building of relevant stakeholders and levels of government to report on and utilize information for decision making on adaptation, specifically at provincial and local levels</p> <ul style="list-style-type: none"> • Series of training workshops on M&E of adaptation in existing adaptation projects in PNG made available through IKM national portal (months 12-18) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Trainings conducted on use of climate information and monitoring (month 18) <p>1.3.4: Document lessons learned and best practices of adaptation interventions to encourage scaling up of successful approaches</p> <ul style="list-style-type: none"> • Continuous compilation of lessons from adaptation measures (months 3-18) • Adaptation measures and best practices shared through the IKM national portal (months 3-18) <p>Key deliverables:</p> <ul style="list-style-type: none"> - E-newsletters and IKM portal updates (months 3-18)
2. Climate change risks are integrated and reflected in the Environment Act, the National Disaster Mitigation Policy and MTDP3 and NAP is formulated			
2.1 System for economic analysis and appraisal of adaptation options is established and CCA priority interventions are integrated into Environment Act, National Disaster Mitigation Policy and MTDP3	Economic analysis not conducted while choosing appropriate options	System for economic appraisal of options established	<p>2.1.1: Develop a system to appraise individual adaptation options, including costs and benefits for unintended impacts of adaptation measures in PNG</p> <ul style="list-style-type: none"> • A technical committee under the CCDA set up to appraise CCA/DRR investments that meets on demand and includes in particular members from DNPW, DoF and priority sector representatives (month 3-5) • CBA, CEA, MCA (and/or other tools) guide for adaptation projects and programmes adapted and adopted (months 5-7) • Guidelines for integration and prioritization in the priority sectors are developed (month 8-10) • Training on the use and application of prioritization tools conducted for relevant stakeholders, particularly from DPNM, DoF and priority sectors, among others (months 10-12)

	<i>integrated into MTDP, NDMP and sectoral policies</i>	<i>and 4 sectoral policies</i>	<p>Key deliverables:</p> <ul style="list-style-type: none"> - Appraisal tools adopted (month 7) - Guidelines for integration and prioritization developed (month 10) - Trainings conducted on application of tools (month 12) <p>2.1.2 Align CCA and development priorities by strengthening CCDA and ATWG and linking with the PNG's strategic plans</p> <ul style="list-style-type: none"> • Review of Environment Act, National Disaster Mitigation Policy, and MTDP3, as well sectoral policies such as a) Climate Smart Agriculture Policy, National Food Security Strategy, National Roads Authority Act, National Roads Maintenance Act, National Building Board Standards, Department of Works and Engineering Standards, National Health Plan 2010-2020, PNG WASH Policy, etc. to ensure they take into consideration CCA priorities (months 5-8) • CCA criteria added to PNG's EIA (months 5-8) • CCA indicators (from 1.3.1) aligned to PNG's SDGs and NDC monitoring (months 5-8) <p>Key deliverables:</p> <ul style="list-style-type: none"> - EIA updated (month 8) - Recommendations on alignment of CCA indicators to PNG's SDGs, NDC (report) (month 8) <p>2.1.3: Ensure CCA integration at provincial and local levels</p> <ul style="list-style-type: none"> • The Guidelines under 2.1.1 are adapted to the provincial and local levels (months 10-11) • Regional workshops are organized to disseminate the NAP and consult provinces and local governments (particularly to village disaster committees) on adaptation priorities (months 12-18, linked to Sub-outcome 2.2) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Regional representatives trained on integration and prioritization tools (month 18)
2.2 PNG's National Adaptation Plan is formulated with specific focus on agriculture, health, transport and infrastructure	<p><i>Scattered information on climate vulnerability assessments</i></p> <p><i>No plan for medium-long term adaptation planning in country</i></p>	<p><i>Existing information is reviewed and compiled</i></p> <p><i>NAP developed and validated</i></p>	<p>2.2.1 Compile existing information for key priority areas, namely agriculture, health, transport, and infrastructure (result of which will also inform NAP development in 2.2.3)</p> <ul style="list-style-type: none"> • Review of existing vulnerability assessments, climate projections and socio-economic analyses is conducted (months 3-6) • A list of gaps is drafted and an action plan compiled (month 6) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Gaps in vulnerability assessments identified (report) for inclusion in second phase (month 6) <p>2.2.2 Identify and appraise options for climate change adaptation in the 4 priority sectors based on findings from the review in 2.2.1</p> <ul style="list-style-type: none"> • Stakeholder consultation led by CCDA to select options for adaptation in the priority sectors with representation from the sector departments (month 8) • Identification and application of appraisal tools such as Cost Benefit Analysis, Cost Effectiveness, Multi-criteria Analysis (month 8-10) • Report on appraised adaptation options for the priority sectors produced (month 11) – informs activity 2.2.1 • Stakeholder workshop to prioritise adaptation options (month 12) <p>Key deliverables:</p>

			<ul style="list-style-type: none"> - A report with list of appraised and prioritized adaptation action (month 12) <p>2.2.3 Establish a multi-disciplinary drafting team composed of members of the ATWG and technical experts to compile available technical studies from the national communications and other relevant initiatives, including options appraisal in 2.2.2, 2.1.1 and draft the NAP for PNG</p> <ul style="list-style-type: none"> • Team appointed and Terms of Reference drafted for NAP development (month 12-14) • Consultants contracted to coordinate and compile the draft document (months 14) • NAP drafted building on validated roadmap and other available information emanating from assessments (months 14-15) • National level consultations workshops for decision makers conducted in collaboration with CCDA on NAP (months 15-16) • Peer review of the NAP document undertaken and made available for information and comments from public – through public discussions (months 15-16) • NAP submitted to the UNFCCC (month 18) <p>Key deliverables:</p> <ul style="list-style-type: none"> - NAP drafted (month 15) - NAP peer reviewed (month 16) - NAP submitted to UNFCCC (month 18)
3. Financing framework for climate change adaptation action for medium-to long-term is established			
3.1 A NAP financing and investment strategy is developed through consultative process	Lock of financing strategy to support medium to long term adaptation action	Financing strategy developed and sources of financing identified; adaptation investment ideas developed	<p>3.1.1: Develop CCA markers and budget codes and integrate into IFMS to track adaptation investments in country in close collaboration with DoF and DNPM</p> <ul style="list-style-type: none"> • Criteria for adaptation related activities in public investment programs, along with relevant markers identified and validated through consultations with stakeholders (months 1-4) • Government's Integrated Financial Management System updated with climate change related expenditures and budget codes (months 5-7) • Officials in DNPM and DoF trained on input and tracking of adaptation expenditures through IFMS (months 7-9) • Assessment carried out on public and extra-budgetary investments in climate change adaptation (in concert with sub-outcome 1.3), reports synthesized and made available through IKM (months 9-12) <p>Key deliverables:</p> <ul style="list-style-type: none"> - CCA markers for PIP developed (month 4) - IFMS updated with CCA relevant budget codes (month 7) - Report on investments in CCA published on IKM (month 12) <p>3.1.2 Develop NAP financing and investment strategy through consultative process with public and private sector as well as community and vulnerable group stakeholders, in close collaboration with the GCF Readiness Support project.</p> <ul style="list-style-type: none"> • NAP financing and investment strategy developed and validated through consultations with stakeholders, in close collaboration with the GGI led GCF Readiness Support Project (months 6-10) • Assessment report on sources of funding from public and private sectors produced (months 10-14)
	CCA considerations non existent in public investment programmes	Public investment programmes include criteria for climate change adaptation	

			<p>Key deliverables:</p> <ul style="list-style-type: none"> - Financing strategy (report) (month 10) - Report on available funding sources (month 14) <p>3.1.3 Develop 4 project idea notes for priority sectors (agriculture, health, transport and infrastructure), in close collaboration with the GCF Readiness Support project. These proposals will be developed based on assessments and information readily available</p> <ul style="list-style-type: none"> • Technical assessments conducted to develop 4 bankable project ideas (months 14-16) • Project ideas validated through consultations (month 16) <p>Key deliverables:</p> <ul style="list-style-type: none"> - Project idea notes (month 16)
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VII. MONITORING AND EVALUATION (M&E) PLAN

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

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

M&E oversight and monitoring responsibilities:

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project personnel maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored bi-annually in time for evidence-based reporting in the bi-annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Project Report, and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Project Report and the UNDP ROAR.

Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.¹¹ Additional audits may be undertaken at the request of the GCF.

Additional GCF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- h) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The inception report must be submitted to the GCF within six months of project start. The Project Manager will prepare the inception workshop report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

GCF Bi-Annual Project Report (due 31st July and 31st January each year of project implementation): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the bi-annual project reports covering the 6 months in the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report.

¹¹ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

The Bi-Annual Project Report will also be shared with the Project Board. The UNDP Country Office will coordinate the inputs of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Final Independent Evaluation Report: A final independent evaluation report will be completed by 31 May 2021. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Final Independent Evaluation report is due for submission to the GCF within 6 months after the project completion date.

The Project Manager will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired, using project funds, to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The final evaluation report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan, and will upload the evaluation reports in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

Final Report: A final project report will be prepared following the template provided by the GCF.

Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹² (US\$)		Time frame
		GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 11,000	USD 5,000	Within first two months of project start up
Inception Report	Project Manager	USD 5,000	None	A month following IW (or by 31 March 2020)

¹² Excluding project team staff time and UNDP staff time and travel expenses.

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹² (US\$)		Time frame
		GCF grant	Co-financing	
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Risk Management	Project Manager Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework (including hiring of external experts, project surveys, data analysis etc...)	Project Manager	Per year: USD 10,000	USD 5,000	Annually
GCF Bi-Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF Unit	None	None	Annually
DIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 4,500	None	Annually or other frequency as per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	Per year: USD 5,000	USD 3,000	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	Per year: USD 3,000	USD 2,000	On-going
Project Board meetings	Project Board UNDP Country Office Project Manager	Per year: USD 10,000	USD 5,000	At minimum annually
Supervision missions	UNDP Country Office	None ¹³	None	Two per year (as per agreed workplan)
Oversight missions	UNDP-GEF Unit	None ¹³	None	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF Unit	USD 10,000	USD 5,000	To be determined.
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-GEF Unit	USD 25,000	USD 3,000	Add date
Translation of evaluation reports into English	UNDP Country Office	USD 4,000	USD 2,000	As required. GCF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		USD 87,500	USD 30,000	

¹³ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.

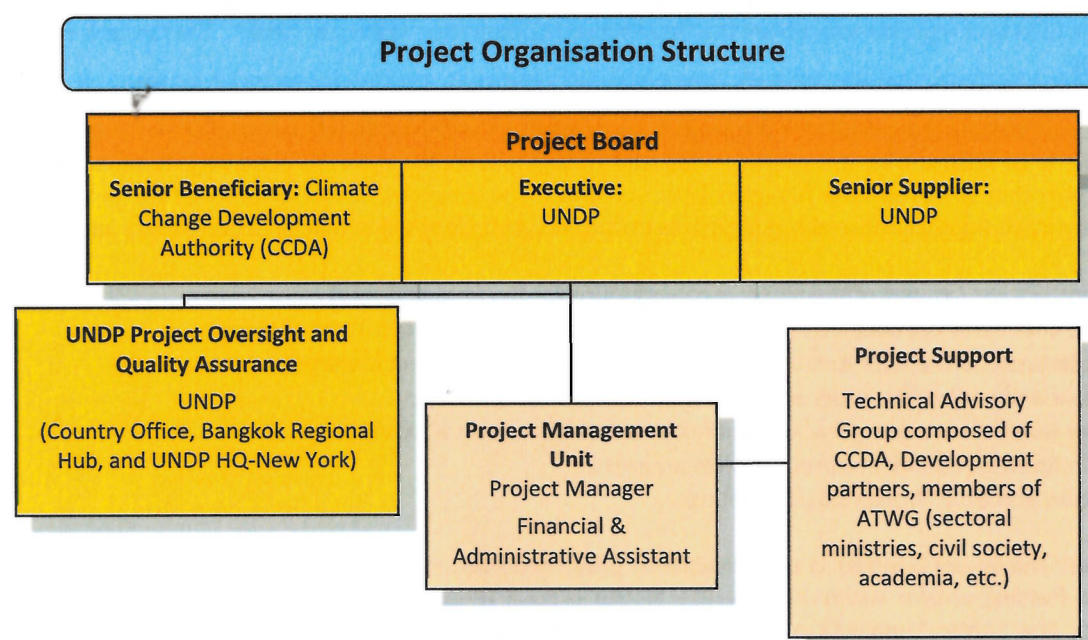
VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The **Implementing Partner** is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's direct implementation modality, according to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.

The project organisation structure- is as follows:



Project Board: The Project Board (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, 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). 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 UNDP.

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 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).

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 Project Manager and a Financial and Administrative Assistant will carry out project implementation. The PMU will be further supported by a Senior Climate Change Advisor and a Regional NAP Advisor from UNDP side. While the Senior Climate Change Advisor will provide strategic, technical and scientific advice in the implementation of the project, in addition to ensuring coordination with senior members of GoPNG and assuring linkages with existing programmes and projects, the Regional NAP Advisor will provide strategic and technical advice to ensure alignment with regional and international efforts related to climate change, including the UNFCCC processes and other global agenda. From the GoPNG side, the Managing Director from CCDA (or delegate) along with the CCDA Manager for Adaptation and Projects and an Adaptation Policy Officer will provide additional implementation support. The management arrangements for this project are summarized in the chart above.

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:

- 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 a three – tier supervision, oversight and quality assurance role – funded by the agency fee – 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 and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the accredited entity fee provided by the GCF.

UNDP has been selected by the Government to act as the Delivery Partner for this NAP project. UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<ol style="list-style-type: none"> Project start-up: <ul style="list-style-type: none"> In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal Prepare the Project Document with the government counterparts Technical and financial clearance for the Project Document Organize Local Project Appraisal Committee Project document signature Ensure quick project start and first disbursement Hire project management unit staff Coordinate/prepare the project inception workshop Oversee finalization of the project inception workshop report Project implementation: <ul style="list-style-type: none"> <u>Project Board:</u> Coordinate/prepare/attend annual Project Board Meetings <u>Annual work plans:</u> Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal <u>Prepare GCF/UNDP annual project report:</u> review input provided by Project Manager/team; provide specialized technical support and complete required sections 	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	<ul style="list-style-type: none"> • <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement. • <u>Procurement plan</u>: Monitor the implementation of the project procurement plan • <u>Supervision missions</u>: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions • <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects) • <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies • <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff • <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism. 	
Oversight of project completion	<ul style="list-style-type: none"> • Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response • Quality assurance of final evaluation report and management response • Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting • Quality assurance of final cumulative budget implementation and reporting to the GCF • Return of any un-spent GCF resources to the GCF 	10%
Oversight of project reporting	<ul style="list-style-type: none"> • Technical review of project reports: quality assurance and technical inputs in relevant project reports • Quality assurance of the GCF annual project report • Preparation and certification of UNDP annual financial statements and donor reports • Prepare and submit fund specific financial reports 	20%
	TOTAL	100%

Governance role for project target groups:

Local stakeholders and community members have a key role in the implementation and monitoring of the project. During the inception phase of the project, the NDA-GCF and CCDA working together with UNDP, will consult with all ATWG stakeholders, and including vulnerable community members, NGOs, Community Based Organizations, civil society, faith-based organizations, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-

making structures, including reporting and communication lines, and conflict resolution mechanisms. The project Logic Framework (indicators, means of verification) will be reviewed and the quarterly and annual plans will be refined engaging the communities from the targeted counties. The stakeholders will also be engaged during the final evaluation to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 1,742,791*. This is financed through a GCF grant of *USD 1,742,791*. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

GCF Disbursement schedule: Disbursement request will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the “Framework Readiness and Preparatory Support Grant Agreement” between GCF and UNDP. Under Clause 4 of said Framework Agreement, “the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02.

GCF disbursement request for this proposal will only be submitted upon execution and effectiveness of a second amendment to the Framework Readiness and Preparatory Support Grant Agreement between UNDP and the GCF.

Budget Revision and Tolerance: 10% of the total overall projected costs can be reallocated among the budget account categories within the same project output. Any budget reallocation involving a major change in the project’s scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF’s prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.¹⁴ 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.

¹⁴ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

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 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 file¹⁵.

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 UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

¹⁵ See

<https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP POPP DOCUMENT LIBRARY/Public/PPM Project%20Management Closing.docx&action=default>.

X. TOTAL BUDGET AND WORK PLAN

Atlas Proposal or Award ID:	00104442	Atlas Primary Output or Project ID:	00106003
Atlas Proposal or Award Title:	Advancing Papua New Guinea's National Adaptation Plan		
Atlas Business Unit:	PNG10		
UNDP GEF PIMS NO:	6119		

GCF Readiness Outcome	Impl. Agency	Fund ID	Donor Name	ATLAS Account Code	Budget Description	Amount US\$ Year 1	Amount US\$ Year 2	Total Amount US\$	Budget note
Outcome 1: The coordination mechanism for multi-sectoral adaptation planning at different levels is strengthened	UNDP	66001	12526	71200	International consultants	48,333.00	21,667.00	70,000.00	1
				71300	Local consultants	128,600.00	39,700.00	168,300.00	2
				71600	Travel	67,040.00	10,000.00	77,040.00	3
				75700	Training, Workshops and Conferences	112,000.00	36,000.00	148,000.00	4
				74200	Audio Visual & Print Prod Costs	50,000.00	25,000.00	75,000.00	5
				72800	Information Technology Equipment	6,000.00	4,000.00	10,000.00	6
				72100	Contractual Services - Companies	131,000.00	20,000.00	151,000.00	7
				74500	Miscellaneous	6,000.00	3,000.00	9,000.00	8
				60000	Staff costs	21,667.00	10,833.00	32,500.00	25
				71400	Contractual Services - Individual	40,000.00	20,000.00	60,000.00	9
TOTAL OUTCOME 1						610,640.00	190,200.00	800,840.00	
Outcome 2: Climate change risks are integrated and reflected in the Environment Act, National Disaster Mitigation Policy, MTDP3 and NAP is formulated	UNDP	66001	12526	71300	Local consultants	97,700.00	37,600.00	135,300.00	10
				71200	International consultants	38,333.00	11,667.00	50,000.00	11
				75700	Training, Workshops and Conferences	55,000.00	25,000.00	80,000.00	12
				71600	Travel	35,120.00	14,560.00	49,680.00	13
				74200	Audio Visual & Print Prod Costs	15,000.00	10,000.00	25,000.00	14
				74500	Miscellaneous	4,000.00	2,000.00	6,000.00	8
				60000	Staff costs	21,667.00	10,833.00	32,500.00	25
				71400	Contractual Services - Individual	40,000.00	20,000.00	60,000.00	9
TOTAL OUTCOME 2						306,820.00	131,660.00	438,480.00	

Outcome 3: Financing framework for climate change adaptation action for medium-to long-term is established	UNDP	66001	12526	71300	Local consultants	39,400.00	20,000.00	59,400.00	15
				71200	International consultants	33,333.00	1,667.00	35,000.00	16
				75700	Training, Workshops and Conferences	43,000.00	25,000.00	68,000.00	17
				71600	Travel	15,120.00	10,000.00	25,120.00	18
				72100	Contractual Services - Companies	60,000.00	24,000.00	84,000.00	19
				71400	Contractual Services - Individual	40,000.00	20,000.00	60,000.00	9
				74200	Audio Visual & Print Prod Costs	10,000.00	5,000.00	15,000.00	14
				60000	Staff costs	21,667.00	10,833.00	32,500.00	25
				74500	Miscellaneous	2,000.00	1,000.00	3,000.00	8
				TOTAL OUTCOME 3					
TOTAL OPERATIONAL COSTS (OUTCOMES 1+2+3)						1,181,980.00	439,360.00	1,621,340.00	
Total Project Management Costs	UNDP	66001	12526	71400	Contractual services - Individual	64,234.00	32,117.00	96,351.00	20
				71600	Travel	4,000.00	2,000.00	6,000.00	21
				74100	Professional Services - Audit	3,000.00	1,500.00	4,500.00	22
				72800	Information Technology Equipment	4,100.00	0.00	4,100.00	23
				72500	Supplies	1,000.00	500.00	1,500.00	24
				64397	Services to Project	6,000.00	3,000.00	9,000.00	26
TOTAL PROJECT MANAGEMENT COSTS						82,334.00	39,117.00	121,451.00	
TOTAL PROJECT COSTS EXCLUDING DP FEE						1,264,314.00	478,477.00	1,742,791.00	

BUDGET NOTE	
1	<p>International expert on climate policy to support analysis of existing regulatory framework, policies and plans with entry points to identify opportunities to integrate climate risk considerations - 20 days @ USD500/day (1.1.1)</p> <p>1 international expert on climate change and M&E to help strengthen capacity of CCDA, ATWG for 60 days @ \$500/day (1.2.1, 1.2.2)</p> <p>1 international expert for specific trainings and who will help implement capacity development plan - 30 days @ \$500/day (1.2.2, 1.2.3)</p> <p>1 international capacity building expert @ USD10000/year split across all three outcomes</p> <p>1 international consultant for Terminal Evaluation 20 days @ USD500/day</p>
2	<p>2 National experts on legal and climate policy to analyse existing regulatory framework, policies and plans with entry points to identify opportunities to integrate climate risk considerations - 60 days @ USD330/day (1.1.1)</p> <p>2 National consultants on climate change and M&E to strengthen capacity of CCDA, ATWG for 100 days @ \$330/day (1.2.1)</p> <p>2 National experts to assist gaps assessment and capacity development plan implementation - 50 days @ \$330/day (1.2.2, 1.2.3)</p> <p>1 National evaluation expert to identify appropriate indicators to monitor climate change impacts and a system to collect data - 60 days @ \$330/day (1.3.1)</p> <p>1 national database expert/webmaster to include climate change related database - 30 days @ 330/day (1.3.2)</p>
3	<p>Travel & DSA for national and international consultant for 1 trip to Port Moresby @ \$2000/tkt, 20 days DSA @ 352 (1.1.1)</p> <p>Travel & DSA for national and international consultant for 3 trips to Port Moresby @ \$2000/tkt, approx. 62.5 days DSA @ 352 (1.2.1, 1.2.2, 1.2.3)</p> <p>Travel to support regional and local participants (20*\$200*8) (1.2.2, 1.2.3)</p> <p>Travel to support regional and local participants (20*\$200*2)</p>
4	<p>5 consultation workshops to review laws, policies, recommendations and sensitization @ \$4000 each</p> <p>1 validation workshop @ \$4000 (1.1.1)</p> <p>4 sensitization workshops @ \$4000 (1.1.2)</p> <p>2 consultations with village disaster committees, churches, women's groups, community orgs to develop communication materials @ \$4000 (1.1.3)</p> <p>4 coordination meetings per year - 6*\$2000</p> <p>1 NAP roadmap development/validation workshop @ \$4000 (1.2.1)</p> <p>4 consultations to develop, validate capacity development plan @ \$4000 (1.2.2)</p> <p>6 training workshops @ \$4000 (1.2.3)</p> <p>1 workshop to identify indicators and a system to collect data @ \$4000 (1.3.1)</p> <p>2 information dissemination conferences @ \$4000 (1.3.2)</p> <p>2 regional and 2 Port Moresby database utilization trainings @ \$4000 (1.3.3)</p> <p>4 consultations to document lessons on CCA @ \$4000 (1.3.4)</p>
5	<p>Printing for workshops, reports and multimedia @ \$45,000</p> <p>Media production and dissemination once every 6 months through local television and radio @ \$10,000 x 3 (1.1.3)</p>
6	<p>5 Laptops and consumables to provide administrative and technical support for the workshops (1.1.1, 1.1.2, 1.1.3)</p>
7	<p>A firm for legal and policy review 30 days @ \$1000 (1.1.1)</p> <p>National contractual company for barrier analysis and to sensitize key development planning and budgeting stakeholders on climate change adaptation along with the development of sensitization materials during 30 days @ \$700/day (1.1.2)</p> <p>An advertising firm to support the implementation of the communication strategy on climate change by developing short films, documentaries, communication materials in local languages 30 days @ \$1000 (1.1.3)</p> <p>National contractual company @ \$700/day, 100 days for capacity assessments and training with national training institutes (1.2.2)</p>

8	Miscellaneous costs - contingency to cover bank charges, exchange losses, etc. Any use of contingency will be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications
9	Climate finance expert (\$40,000/year) to support components 1, 2 and 3 M&E Expert (\$40,000/year) to support components 1, 2 and 3 Climate and Policy Specialist (\$40,000/year) to support components 1, 2 and 3
10	4 national experts on agriculture, health, transport and infrastructure to support the development of a system to appraise individual adaptation options, including costs and benefits for unintended impacts of adaptation measures ; to prioritize adaptation activities and subnational integration 40 days @ \$330 (2.2.1, 2.2.3) 1 public planning expert to align CCA and development priorities by linking with the national plans 30 days @ \$330/day (2.1.2); 4 national experts to compile existing information for priority sectors; to identify and appraise options for climate change adaptation in agriculture, health, transport and infrastructure sectors - 35 days@ 330/day (2.2.1, 2.2.2) NAP expert to establish team to compile available technical studies and draft NAP - 80 days @ \$330/day (2.2.3)
11	International economist to support appraisal of options - 30 days @ \$500/day (2.1.1) 1 international expert to support economic appraisal of options - 30 days @ \$500/day (2.2.2) 1 to support peer review of NAP - 30 days @ \$500/day (2.2.3) 1 international capacity building expert @ USD10000/year split across all three outcomes
12	4 training workshops on prioritization @ \$4000/workshop (2.1.1) 3 consultative workshops for review and recommendations to include CCA into Environment Act, MTDP3, Sectoral plans @ \$4000/workshop (2.1.2) 2 workshops to support regional integration @ \$4000 (2.1.3) 3 consultations workshops to review priorities and assess gaps @ \$4000 (2.2.1) 3 consultations for prioritization @ \$4000 (2.2.2) 5 for drafting of NAP @ \$4000 (2.2.3)
13	Travel & DSA international consultant (30 days @ 352/day; 1 trip @ \$2000) (2.1.1) Travel support for regional integration for subnational officials 30 person @ 200 * 2 (2.1.3) Travel+DSA for international consultants (60 days in Port Moresby @ \$352, 2 trip @ \$2000/tkt) (2.2.2, 2.2.3)
14	Printing for workshops, reports and multimedia support
15	1 national expert to develop criteria and markers for adaptation in PIP, develop budget codes and assess investments - 90 days \$330 (3.1.1) 3 national experts - economist, gender specialist, private sector engagement specialist - to conduct technical assessment and develop NAP financing and investment strategy through a gender-sensitive consultative process with public and private sector and community stakeholders during 30 days @ \$330/day (3.1.2);
16	1 international climate finance expert to support integration of climate change budget codes in IFMS - 60 days @ \$500/day (3.1.1) 1 international capacity building expert @ USD10000/year split across all three outcomes
17	3 consultative workshops to develop markers and budget codes for IFMS integration @ \$4,000 each 1 validation, 2 trainings of DNPM and DOF officials 3 assessment workshops @ \$4000 (3.1.1) 3 consultative and 1 validation workshops to formulate financing strategy @ \$4000 (3.1.2) 4 workshops to develop and validate concept ideas on projects @ \$4000 (3.1.3)
18	2 travels for international consultant to Port Moresby @ \$2000; DSA 60 days @ \$352
19	International Contractual company to develop NAP financing and investment strategy through a consultative process with public and private sector and community stakeholders and develop 4 project idea notes - \$700/day @ 120 days (3.1.3);
20	Service Contract for Project Coordinator to oversee day-to-day operational and technical aspects of project implementation at SC9 (\$38,140/year) Service Contract for Project Associate to support administration, procurement and finance at SC6 (\$26,094/year)

21	Travel and DSA for PMU staff
22	Project audit will be conducted by external audit firm, hired competitively
23	2 Laptops and consumables for PMU staff
24	Office supplies for PMU
25	Staff for dedicated project technical support (Regional NAP Advisor, (International FTA, P4 level, cost share) @\$25000/yr split across 3 outcomes, and Senior Climate Change Advisor (P5 level, cost share) @\$40000/yr split across 3 outcomes)
26	HR, procurement and financial services

XI. LEGAL CONTEXT

Option a. Where the country has signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XII. RISK MANAGEMENT

UNDP (DIM)

UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]¹⁶ [UNDP funds received pursuant to the Project Document]¹⁷ 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.

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>).

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.

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.

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:

¹⁶ To be used where UNDP is the Implementing Partner

¹⁷ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - 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 programme 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/Head of Office, 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 the 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.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the 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 or programme, 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.

XIII. MANDATORY ANNEXES

The following documents are mandatory annexes and must be included as part of the final project document package. Links can be provided to these documents if they have been posted to the UNDP GEF PIMS and open.undp.org.

- A. GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP
- B. GCF approval letter
- C. Timetable of project implementation (GANTT chart)
- D. Procurement Plan
- E. Terms of References for Project Board and Project Team/PMU
- F. UNDP Risk Log

Additional agreements:

- G. UNDP Project Quality Assurance Report
- H. Section 2 of the GCF Readiness Support Interim Progress Report Template

ANNEX A: GCF APPROVED READINESS AND PREPARATORY SUPPORT PROPOSAL FOR ADAPTATION PLANNING

The approved proposal can be found at the GCF website through the following hyperlink:

[https://www.greenclimate.fund/documents/20182/466992/Readiness_proposals -
Papua New Guinea UNDP Adaptation Planning.pdf/5b611cdd-b823-577b-b4d8-c9280ea63b9b](https://www.greenclimate.fund/documents/20182/466992/Readiness_proposals_-_Papua_New_Guinea_UNDP_Adaptation_Planning.pdf/5b611cdd-b823-577b-b4d8-c9280ea63b9b)

ANNEX B: GCF APPROVAL LETTER



Mr. Ruel Yamuna
Acting Managing Director
Climate Change and Development Authority
Office of Climate Change and Development
Avara Annex Building, Brampton Street
Port Moresby, NCD. P O Box 4017, Boroko 111, NCD
Independent State of Papua New Guinea

COUNTRY PROGRAMMING

Date : 1 November 2019
Reference : DCP/2019/510
Page : 1 of 1

Subject: Notification of Approval on Readiness and Preparatory Support Programme Proposal for the Green Climate Fund - [Grant Reference Number PNG-RS-002]

Dear Mr. Yamuna,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Independent State of Papua New Guinea, initially submitted on 10 October 2017. This proposal is in accordance with the terms of the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between the Green Climate Fund and the United Nations Development Programme (UNDP), dated 2 September 2016, and amended and restated on 6 March 2018.

The above-mentioned proposal was approved on 24 October 2019 for the amount of USD 1,890,928 for advancing Papua New Guinea's National Adaptation Plan. A copy of the proposal is attached for your reference (Approved Proposal).

Kindly note that as of the date of this Notification the Framework Agreement between the GCF and UNDP is being amended, and that the implementation of the readiness activities under this Approved Proposal will be subject to the execution and effectiveness of the amended Framework Agreement. Once the amendment to the Framework Agreement becomes effective, UNDP can submit a request for disbursement to the Secretariat to begin the implementation of the activities under the Approved Proposal.

Please contact us if you have any other questions about your approved proposal or next steps.

Yours sincerely,

A handwritten signature in blue ink, appearing to read "Pa Ousman Jarju".

Mr. Pa Ousman Jarju
Director

Enclosure: Readiness Proposal of the Independent State of Papua New Guinea

cc: Mr. Pradeep Kurukulasuriya, Executive Coordinator and Director, Global Environmental Finance,
Bureau for Policy and Program Support, UNDP

Green Climate Fund
Songdo International Business District
G-Tower, 175 Art Center-daero
Yeonsu-gu, Incheon 22004
Republic of Korea

ANNEX C: TIMETABLE OF PROJECT IMPLEMENTATION (GANTT CHART)

	Year 1												Year 2					
	Quarter 1			Quarter 2			Quarter 3			Quarter 4			Quarter 1			Quarter 2		
	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18
Outcome 1: Coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened																		
Suboutcome 1.1: Barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate change adaptation and development linkages																		
Activity 1.1.1					X													
Activity 1.1.2				X														X
Activity 1.1.3						X												X
Suboutcome 1.2: Capacities of CCDA and ATWG members to steer climate change coordination and integration processes are developed																		
Activity 1.2.1				X														
Activity 1.2.2				X														
Activity 1.2.3																		X
Suboutcome 1.3: Mechanisms for regularly updating and reviewing adaptation are strengthened and feed into the iterative adaptation planning process																		
Activity 1.3.1					X													
Activity 1.3.2												X						
Activity 1.3.3																		X
Activity 1.3.4																		X
Outcome 2: Climate change risks are integrated and reflected in the Environment Act, National Disaster Mitigation Policy and MTDPP3 and NAP is formulated																		
Suboutcome 2.1: System for economic analysis and appraisal of priority adaptation options are established and CCA priority interventions are integrated into Environment Act, National Disaster Mitigation Policy and MTDPP3																		
Activity 2.1.1							X			X								
Activity 2.1.2								X										
Activity 2.1.3																		X
Suboutcome 2.2: Formulate PNG's National Adaptation Plan with specific focus on agriculture, health, transport and infrastructure																		
Activity 2.2.1						X												
Activity 2.2.2												X						
Activity 2.2.3															X			X
Outcome 3: Financing framework for climate change adaptation action in the medium- to long-term established																		
Suboutcome 3.1: A NAP Financing and Investment Strategy developed through consultative process																		
Activity 3.1.1				X														
Activity 3.1.2										X								
Activity 3.1.3														X				

ANNEX D: PROCUREMENT PLAN

ITEM	ITEM DESCRIPTION	ESTIMATED COST (US \$)	PROCUREMENT METHOD	THRESHOLDS	ESTIMATED START DATE	PROJECTED CONTRACTING DATE
				(Min-Max monetary value for which indicated procurement method must be used)		
Goods and Non-Consulting Services						
CS Individual	Project Coordinator (SC9)	57,210.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	Project Associate (SC6)	39,141.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	Climate Finance Expert	60,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	M&E Expert	60,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	Climate and Policy Specialist	60,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Company	A firm for legal and policy review	30,000.00	Local Advertisement		QTR1-YR1	QTR1-YR1
CS Company	A firm to conduct barrier analysis and sensitization of key development planning and budgeting	30,000.00	Local Advertisement		QTR1-YR1	QTR1-YR1
CS Company	Company to provide all print and electronic communication, advocacy and training materials on climate change adaptation	21,000.00	Local Advertisement		QTR1-YR1	QTR1-YR1
CS Company	Company to undertake desk review and assessment of the vulnerability of key sectors.	70,000.00	Local Advertisement		QTR1-YR1	QTR2-YR1
CS Company	A firm to develop NAP financing and investment strategy	84,000.00	Local Advertisement		QTR4-YR1	QTR4-YR1
CS Company	Company to prepare videos and capture climate change adaptation stories to disseminate lessons learnt on good practices in Papua New Guinea to create advocacy on increasing investment on NAP	30,000.00	Local Advertisement		QTR1-YR1	QTR1-YR1 - QTR4-YR1
IT Equipment	Various IT Equipment (Laptops, printer, etc.)	14,100.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR4-YR3	QTR1-YR1 - QTR4-YR3
Audio Visual & Print Prod Costs	Various Printing Material	115,000.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR4-YR3	QTR1-YR1 - QTR4-YR3
Office Supplies	Office Supplies	1,500.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR4-YR3	QTR1-YR1 - QTR4-YR3

CS Company	Professional Services (Audit)	4,500.00	Desk Review – Competitive Sourcing		QTR 4 Y1, QTR2 Y2,	QTR 4 Y1, QTR2 Y2,
SUB-TOTAL (US \$)		676,451.00				
Consultancy Services						
Local Consultant	2 National experts on legal and climate policy	39,600.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
Local Consultant	2 National consultants on climate change and M&E	66,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
Local Consultant	2 National consultants to assist gaps assessment and capacity development plan implementation	33,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR2-YR2
Local Consultant	National evaluation expert	19,800.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
Local Consultant	National Expert on database/webmaster	9,900.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	National Expert on Agriculture	13,200.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR1-YR2
Local Consultant	National Expert on health	13,200.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR1-YR2
Local Consultant	National Expert on transport	13,200.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR1-YR2
Local Consultant	National Expert on infrastructure	13,200.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR1-YR2
Local Consultant	Public Planning Expert	9,900.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	4 National Experts to compile existing information for priority sectors (agriculture, health, transport and infrastructure)	46,200.00	Desk Review – Competitive Sourcing		QTR2-YR1 - QTR4 - YR1	QTR2-YR1 - QTR4 - YR1
Local Consultant	NAP Expert	26,400.00	Desk Review – Competitive Sourcing		QTR4-YR1 - QTR1-YR2	QTR4-YR1 - QTR1-YR2
Local Consultant	National consultant to support peer review of NAP	15,000.00	Desk Review – Competitive Sourcing		QTR4-YR1 - QTR1-YR2	QTR4-YR1 - QTR1-YR2
Local Consultant	1 National Expert to develop criteria and markers for adaptation in PIP, develop budget codes and assess investments	29,700.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1 - QTR2-YR2
Local consultant	3 National Experts (economist, gender specialist & private sector engagement) to conduct technical assessment and develop NAP financing and investment strategy	29,700.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR1-YR1 - QTR2-YR2

International consultant	International Expert on Climate Policy to support Analysis of Existing regulatory framework, policies and plans	10,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-2-YR1
International consultant	T&E consultant	10,000.00	Desk Review – Competitive Sourcing		QTR2-YR2	QTR2-YR2
International consultant	International capacity development consultant	10,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
International consultant	International Consultant on Climate Change and M&E	30,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-2-YR1
International consultant	International Consultant for specific trainings and implementation of capacity development plan	15,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-2-YR1
International consultant	International Economist	15,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-2-YR1
International consultant	International expert to support economic appraisal of options	15,000.00	Desk Review – Competitive Sourcing		QTR3-YR1	QTR3-YR1
International consultant	1 International Climate Finance Expert	30,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR1-YR1 - QTR2-YR2
SUB-TOTAL (US \$)		513,000.00				
TOTAL COST (US \$)		1,189,451.00				

ANNEX E: 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
- Ensure that risks are being tracked and mitigated as effectively as possible
- 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

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;

Senior Climate Change Advisor

The UNDP Country office will provide the following technical services through the partial engagement of a Senior Climate Change Advisor, P5, equivalent to 2 months per year, for 1.5 years. This technical assistance will be provided in the following areas:

- (a) Regular facilitation of and dialogue with development partners (monthly) to ensure alignment of the NAP project outputs and results with the SDGs, United Nations Strategic Framework (UNSF), the Vision 2050, the National Strategy for Responsible Sustainable Development (StaRS), the Third Medium-Term Development Plan (MTDP3)
- (b) Substantive technical inputs to align the project outputs and results to broader governance and reform related initiatives in Papua New Guinea
- (c) Policy analysis and technical inputs to align the project with other adaptation related initiatives, including but not limited to CCAF, Climate Change Ready, GCF Readiness Programme, iCLIM, PPCR, SMART Climate, etc., supported by UN Agencies and other development partners
- (d) Policy analysis and inputs to ensure coherence with efforts to implement the Nationally Determined Contribution (NDCs)
- (e) Regular engagement and coordination with Adaptation Technical Working Group (ATWG) and technical inputs for policy dialogue at local, provincial and national levels on alignment of climate change adaptation and development priorities,
- (f) Substantive technical inputs to align the NAP financing and investment strategy with broader climate financing initiatives underway in Papua New Guinea.
- (g) Coordinate legal and policy review of Environment Act, National Disaster Management Policy, MTDP, as well as sectoral policies, with Department of National Planning and Monitoring (DNPM).
- (h) Participate in and provide expert advice in the design and agendas of at least 4 sensitization workshops at provincial levels on the NAP process.
- (i) Peer review of key TORs throughout the project, in particular, the NAP steering committee, the NAP drafting process and team.
- (j) Substantive guidance to develop knowledge products, in particular, the CCA integration and prioritization guidelines, vulnerability assessments report, e-newsletters, awareness raising materials, and legal/policy analysis report, etc.

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.

Regional NAP Advisor

The UNDP-GEF Regional team based in the Bangkok Regional Hub through will extend technical support towards the execution/implementation of the GCF-funded project, "Advancing Papua New Guinea's National Adaptation Plan."

- (a) The UNDP-GEF will provide the following technical services through the partial engagement of a Regional NAP Advisor, P4, equivalent to 1.2 months per year, for 1.5 years. The costs incurred for the provision of the services described herein shall be recovered from the project budget. This technical assistance will be provided in the following areas:
- (b) (k) Provide sensitization to the national NAP team on global and regional best practices and experiences on adaptation planning as they relate to specific outcomes of the this programme – through up 2 face to face missions and at least 5-6 virtual brief- ings on methods for stocktaking; integration of climate change into planning and budgeting; gender analysis and gender mainstreaming into adaptation planning; and on monitoring and evaluation of adaptation. Continue to mentor and provide feedback throughout the project cycle on technical activities related to these topics.

- (c) Provide inputs to the Papua New Guinea NAP team on current themes and new developments on adaptation planning at the UNFCCC and their relevance to national activities; and provide global and regional experiences on how countries are aligning their NAPs/NDCs and SDG related workstreams.
- (d) Identify research and specialized institutions that can partner with PNG to advise on development of curricula and training of national teams on V&A, economic and multi-criteria methods for prioritization; as well as support synthesizing lessons on best practices and knowledge from the region to inform the development of planned project idea notes.
- (e) Peer review knowledge products developed under the Papua New Guinea NAP project, including support to the development of resource kits and other knowledge materials.
- (f) Facilitate dialogue and experience between PNG sharing by convening at least 3-4 webinars/video conference sharing sessions and other forms of virtual exchange and other countries on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local adaptation plans, planning and budgeting processes;
- (g) Support the integrated monitoring and evaluation of all performance aspects, including technical, financial and operational aspects of the portfolio and contribute to quarterly reports and preparation of projects' bi-annual progress reports.
- (h) Support efforts to ensure that Papua New Guinea NAP activities are aligned and coordinated with national, regional and global development agenda, including but not limited to the SDGs, UNFCCC and CBD processes, Sendai Framework on Disaster Risk Reduction, UN Development Assistance Framework etc.;

ANNEX F: UNDP RISK LOG

Risks and Assumptions:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher).

Table: Project Risks

#	Description of the risk	Potential consequence	Countermeasures/ Mngt response	Type	Probability &
				(Risk category)	Impact (1-5)
1	Problems related to involvement and cooperation of stakeholders to provide the project team with data	Incomplete data collection Delay in the completion of the outputs	Clear commitment will be obtained from across government agencies to contribute to data collection and dissemination of data	Political and organisational	P=3 I=4
2	Governments will not have funds to sustain the national arrangements, once the project ends	Endangered project sustainability	Outcome 3 of the project will involve formulating mechanisms for scaling up investments and addressing financial gaps. This will guide: · awareness raising among decision-makers; · Development of a financing strategy; · Development of idea notes for future financing	Financial	P=2 I=4
3	Conflicts among stakeholders as regards roles in the project	Uncoordinated approach to tackling climate change Duplication of efforts Threat to successful project implementation.	Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles. · a timeline will be developed for the PNG NAP process and updates communicated to stakeholders through ATWG;	Political and organisational	P=2 I=3

			<ul style="list-style-type: none"> a monitoring process will contribute evidence to report and respond to challenges identified during implementation monitoring the progress of implementation. 		
4	Lack of political will to support the project	Endangered project sustainability	<p>Awareness-raising among the key decision-makers.</p> <p>Develop leadership/ champions for change.</p> <p>Support will be given to government to organise consultations on project progress at key stages in order to maintain government ownership and interest in the project.</p> <p>Collaboration with other cooperation projects which will help to maintain political visibility and avoid duplication.</p>	Political and strategic	P=2 I=4
5	Limited capacity within relevant ministries/ insufficient qualified human capacity.	May limit/delay project implementation/ completion.	A major part of the project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives, for example those with national climate change learning strategies already in place.	Political, strategic	P=3 I=4
7	Excluding any potentially affected stakeholders from fully participating in decisions that may affect them	<p>The NAP will not reflect the vulnerabilities and needs of the most vulnerable.</p>	<p>The project implementing team will conduct real-time monitoring and evaluation of each stakeholder engagement activity to ensure that these processes are fully inclusive.</p> <p>Management processes (e.g. budgets and work plans) will be adjusted should country circumstances prevent any affected stakeholder groups from engaging in the process.</p>		P = 2 I = 2
8	Lack of qualified expertise / Recruitment capacity	May delay implementation, endangering project	Implementing team will develop Terms of Reference for the national consultants to be hired early in the project, ensuring appropriate talents are attracted.	Organisational	P=1 I=4

			Management processes will be adjusted and support from regional centers (UNDP) will be sought should there be a risk of recruitment capacity.		
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ANNEX G: UNDP PROJECT QUALITY ASSURANCE REPORT

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					
<ul style="list-style-type: none"> • 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					
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): <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. 					<div>3 2</div> <div>1</div> <div>Evidence</div>
<small>*Note: Management Action or strong management justification must be given for a score of 1</small>					

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):	3	2
	1	
	Evidence	
<ul style="list-style-type: none">• 3: The project responds to one of the three areas of development work¹⁸ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas¹⁹; 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.		
RELEVANT		
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):	3	2
	1	
	Evidence	
<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.		
*Note: Management Action must be taken for a score of 1, or select not applicable.		
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):	3	2
	1	
	Evidence	
<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.		
*Note: Management Action or strong management justification must be given for a score of 1		
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):	3	2
	1	
	Evidence	
<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>)		

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

¹⁹ 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

<ul style="list-style-type: none"> • 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>							
<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. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td></td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>		2	1		Evidence	
	2						
1							
Evidence							
SOCIAL & ENVIRONMENTAL STANDARDS							
<p>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):</p> <ul style="list-style-type: none"> • 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. <i>(all must be true to select this option)</i> • 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. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>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):</p> <ul style="list-style-type: none"> • 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. <i>(all must be true to select this option)</i>. • 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. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>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.]</p>	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td colspan="2"></td> </tr> </table>	Yes	No				
Yes	No						
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. (<i>all must be true to select this option</i>) • 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. (<i>all must be true to select this option</i>) • 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	3	2
	1	
	Evidence	
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): • 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. *Note: Management Action or strong management justification must be given for a score of 1	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): • 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. *Note: Management Action must be taken for a score of 1	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
17. Is the Country Office fully recovering the costs involved with project implementation? <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><i>*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.</i></p>	3	2
EFFECTIVE		
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project): <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><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
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? <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. 	3	2
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?	Yes (3)	No (1)

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. *Note: Management Action or strong management justification must be given for a score of “no”	Yes (3)	No (1)
	Evidence	
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): • <u>3</u> : The project has a realistic work plan & budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources. • <u>2</u> : The project has a work plan & budget covering the duration of the project at the output level. • <u>1</u> : The project does not yet have a work plan & budget covering the duration of the project.	3	2
	1	
	Evidence	
SUSTAINABILITY & NATIONAL OWNERSHIP		
23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project): • <u>3</u> : National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • <u>2</u> : The project has been developed by UNDP in close consultation with national partners. • <u>1</u> : The project has been developed by UNDP with limited or no engagement with national partners.	3	2
	1	
	Evidence	
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): • <u>3</u> : 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. • <u>2.5</u> : 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. • <u>2</u> : 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. • <u>1.5</u> : 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. • <u>1</u> : 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
	1	
	Evidence	
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?	Yes (3)	No (1)
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)?	Yes (3)	No (1)

ANNEX H: SECTION 2 OF THE READINESS SUPPORT INTERIM PROGRESS REPORT TEMPLATE

SECTION 2 of the GCF READINESS SUPPORT INTERIM PROGRESS REPORT TEMPLATE

This section requires an update on progress in implementing the planned Readiness activities. Any draft to the expected output should be submitted with progress report.

Progress is reported for the period (should be consistent with section 1.8)

From: Click or tap to enter a date. To: Click or tap to enter a date.

Outcome 1:

Outcome narrative: Please provide a brief summary of the outcome achieved.

Outputs	Baseline summary	Activities	Targets achieved	Indicators	Milestones and deliverables achieved ²⁰	Variance explanation	Qualitative assessment of activities undertaken	Planned activities and corresponding deliverables/milestones for the next reporting period
	Please provide a brief summary of the baseline scenario at the proposal stage.		Please rate the status of targets achieved through activities undertaken during the reporting period, against the baseline and the proposed targets in the proposal.	Based on your approved proposal, please outline the key indicators.	Please state the milestones and deliverables achieved as agreed in Grant Agreement.	In this column, identify and explain the reasons for the difference, if any, between a planned activity and the corresponding actual activity that took place during the reporting period.	In this column, summarize some of the qualitative results achieved through activities undertaken during the reporting period.	Please highlight activities, deliverables and milestones planned for the next reporting period and indicate any modifications that might be made from the original implementation plan. Also, indicate any corrective actions that need to be taken up to address impediments that emerged in the reporting period.
1.1								
1.2								
1.3								