 GCFblgrnLogoRGB.eps

**United Nations Development Programme**

**Annotated Project Document template for Adaptation Planning / NAP (National Adaptation Plan) projects**

**financed by the Green Climate Fund (GCF)**

01 March 2018

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project title: “**Medium term investment planning for adaptation in climate sensitive sectors in the Democratic Republic of Congo : Advancing the NAP process” | | | | |
| **Country:** Democratic Republic of Congo (DRC) | | | | |
| **Implementing Partner:** UNDP | | | | **Management Arrangements** : Direct Implementation Modality (DIM) |
| **UNDAF/Country Programme Outcome***:* **“**Output 3 of UNDAF programme: The State improves the management of its natural resources and related benefits as well as mechanisms for disaster management and commits to a green economy” | | | | |
| **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):** | | **Atlas Output ID (formerly Project ID):** | | |
| **UNDP-GEF PIMS ID number: 5963** | | **GCF ID number:** | | |
| **Planned start date:** 1st July 2018 | | **Planned end date:** 31st December 2019 | | |
| **PAC meeting date:** *this is defined as the actual project appraisal committee meeting date (to be added before DOA issuance).* | | | | |
| **Brief project description:**  The proposed project will enable the Democratic Republic of Congo to integrate climate change adaptation requirements into developmental planning and processes. It is informed by a consultative and engagement process which started in October 2014 and included a National Adaptation Plan (NAP) sensitization workshop. The project builds on the support from the United Nations Development Programme (UNDP) – UN Environment Programme (UNEP)’s National Adaptation Plan Global Support Programme (NAP-GSP) which resulted in DRC developing a roadmap (in 2015) and a stocktaking report (in Nov. 2016[[1]](#footnote-1)) to enable the country to advance work of its NAP process.  The adaptation planning process builds extensively on DRC’s comprehensive policy and action plan, the “2016-2020 National Climate Change Policy, Strategy and Action Plan (PSPA-CC)”. It was developed to align with DRC’s vision of cutting emissions by 17% by the year 2030, focusing both on mitigation and adaptation priorities.  The project’s objective is to advance the adaptation planning process for priority climate sensitive sectors and regions in DRC. It consists of three outcomes: (1) The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning; (2) Climate change adaptation and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces; and (3) Financing options for adaptation investments in agriculture and rural development, health, land use planning and energy are identified with the support of the private sector.  The main beneficiaries of GCF financing support will be the Ministry of Environment and Sustainable Development (MEDD)’s Division for Sustainable Development (DDD). The Division oversees climate change coordination. The project will also benefit the Ministries of Planning and Budget, and the sectoral ministries in charge of priority sectors (agriculture, rural development, coastal management, biodiversity, energy, transport and water and sanitation) and provincial governments in the five target provinces of this project (Kwilu, Tshopo, Haut Katanga, Kinshasa and Kongo Central Provinces).  By focusing on implementing and strengthening the PSPA-CC and existing systems and mechanisms (such as the REDD+ Coordination Mechanism or the MRV system), this project aims to be incremental and sustainable. With the inclusion of stakeholders representative of vulnerable populations, including women and indigenous people, it is designed to be inclusive and participatory. With the strong co-benefits and coordination with ongoing readiness projects in country supported by GCF, GEF (World Bank) and UNDP, this project will complement efforts already underway that are relevant to advancing the NAP process in the DRC. | | | | |
| **Financing Plan** | | | | |
| GCF grant | | USD 1,270,000.00 | | |
| UNDP TRAC resources | | USD 0 | | |
| Cash co-financing to be administered by UNDP | | USD 0 | | |
| *…* | | *… add additional rows if necessary* | | |
| 1. **Total Budget administered by UNDP** | | **USD 1,270,000.00** | | |
| **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 | | |
| *…* | | *… add additional rows if necessary* | | |
| 1. **Total co-financing** | | **USD** | | |
| 1. **Grand-Total Project Financing (1)+(2)** | | **USD** | | |
| **Signatures** | | | | |
| **Signature:** Hans Andre Lohayo Djamba | **Agreed by Government** | | **Date/Month/Year:** | |
| **Signature:** Rohini Kohli | **Agreed by UNDP as the Delivery Partner** | | **Date/Month/Year:** | |

# Table of Contents

[I. Table of Contents 4](#_Toc512444861)

[II. Development Challenge 5](#_Toc512444862)

[III. Strategy 10](#_Toc512444863)

[IV. Results and Partnerships 11](#_Toc512444864)

[V. Project Management 18](#_Toc512444865)

[VI. Project Results Framework 21](#_Toc512444866)

[VII. Monitoring and Evaluation (M&E) Plan 25](#_Toc512444867)

[VIII. Governance and Management Arrangements 29](#_Toc512444868)

[IX. Financial Planning and Management 34](#_Toc512444869)

[X. Total Budget and Work Plan 37](#_Toc512444870)

[XI. Legal Context 42](#_Toc512444871)

[XII. Risk Management 42](#_Toc512444872)

[XIII. Mandatory Annexes 44](#_Toc512444873)

[Annex A: GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP 44](#_Toc512444881)

[Annex B: GCF approval letter 45](#_Toc512444882)

[Annex C: Timetable of project implementation (GANTT chart) 45](#_Toc512444883)

[Annex D: Procurement Plan 46](#_Toc512444884)

[Annex E: Terms of References for Project Board and Project Team 50](#_Toc512444885)

[Annex F: UNDP Risk Log 53](#_Toc512444886)

[Annex G: Quality Assurance Report 55](#_Toc512444887)

|  |  |
| --- | --- |
|  |  |

# Development Challenge

1. **Advancing the NAP process will be anchored in existing climate change adaptation strategies and projects as well as DRC’s development planning and budgeting processes.** The government of DRC has identified climate change as a priority in its National Development Plan, as mentioned in Paragraph 5.
2. Since 2012, the DRC has embarked on a process of integrating the issue of climate change into sectoral policies and strategies as well as taking it into account in national development planning. This is based on existing frameworks and measures, including National REDD+ Framework Strategy, and the 2006 National Action Program for Adaptation to the Effects of Climate Change (NAPA) to improve the resilience of the country to climate change.

**STRATEGIC DOCUMENTS AND PROCESSES**

1. The Democratic Republic of Congo (DRC) is located within the Inter-Tropical Convergence Zone (ITCZ), which affects the magnitude and timing of the dry and rainy season, creating extreme climate variability within the country. Rising temperatures are expected to impact the main economic sectors, such as agriculture, drastically, through crop disease and droughts, thereby intensifying food insecurity and poverty. Simulations conducted by the World Bank indicate that the heavy rains of this region will intensify further leading to destruction through floods, landslides, and soil erosion (especially in Central Congo Basin). This was evident during the flooding in 2015 – 2016, which affected approximately 550,000 people, and led to an outbreak of cholera. However, rainfall is likely to lessen in the South, where the dry savannah region hosts 80% of the rural population.[[2]](#footnote-2) Such extreme variations drive the DRC to approach its adaptation planning processes, informed by the variations in different parts of the country, for most effective adaptation planning.
2. Most of DRC’s economic sectors are highly climate sensitive (such as agriculture, trade, hydro-power etc).[[3]](#footnote-3) While poverty and conflict prevail, agriculture is the main source of income for 90% of DRC’s population, and continues to be almost exclusively rain-fed. With the change in rainfall, especially through shorter rainy seasons, and variability during the rainy seasons, or with the increase in average soil temperature (affecting crop growth), harvests will be unreliable, and people, who depend on rain-fed agriculture, will be extremely vulnerable. This increasing uncertainty threatens food security and social development among the poor and vulnerable communities.
3. Therefore, agriculture and rural development, in addition to energy, transport and water and sanitation, conservation of ecosystems, forests, and biodiversity and coastal zone management are identified as top priorities in the national adaptation planning process in DRC.
4. DRC has a number of developmental plans and strategies which are already in place, such as the National Strategic Plan for Development(PNSD)and the Provincial Development Plans. The PNSD, completed in collaboration with UNDP, the IMF and World Bank, aims to catapult DRC into a developed nation by the year 2050 with a substantially higher GDP per capita (i.e. USD 12,000). A five-year plan for 2017-2021 is part of the PNSD. The strategy consists in three phases: 1) 2017-2021 focuses on agricultural development and by 2021 DRC would be a middle-income country; 2) 2021-2030 strengthens industrialization and by 2030 DRC would be an emerging country; and 3) 2030-2050 concentrates on building a knowledge-based economy and by 2050 DRC would be a fully industrialized country. Its final phase includes an exclusive focus on growth and employment generation with a climate change lens as it is recognized as a major threat to the economy. This plan calls for the “protection of the environment, and adaptation to the demands of climate change for a better living environment.” This requires DRC to act quickly, and effectively, to incorporate adaptation planning into its developmental planning processes. In addition, a thorough decentralization process is under way, and the re-organization of the country into twenty-six instead of the original eleven provinces has been completed, establishing the need for all provinces to develop their development plans while granting them increased autonomy.
5. The Government of DRC, through the Ministry of the Environment and Sustainable Development (MEDD), has benefited from the technical support of UNDP, through the LDCF financed NAP-Global Support Programme, for the development of its NAP. In October 2014, a sensitization and stakeholders mobilization workshop was organized in Kinshasa under the guidance of the MEDD (formerly MECND) to improve the understanding of the NAP process, identify lessons learned from climate change and other mainstreaming initiatives, and identify potential entry points for the NAP process in the DRC. Subsequently, the Government consolidated, finalized, and validated the NAP roadmap, “Feuille de Route PNA,” in 2015.
6. The NAP roadmap provides a guideline for the implementation of the NAP process in the DRC, and the areas to improve in the short, medium, and long term. It outlines four main stages i.e. (1) Preparation and Gap Assessment; (2) Elements of the Preparatory Phase; (3) Implementation Strategy; and (4) Notification, Monitoring and Evaluation and Scaling Up, as per the 2012 Least Development Countries’ Expert Group’s Technical Guidelines (LEG Guidelines). It also lays out the results, activities, timelines, and responsible agencies for all the sub-parts of the above. However, the NAP process did not see much progress since 2015 due to financial and budgetary constraints in both domestic and vertical funds (LDCF/GCF) for its implementation.
7. The NAP roadmap exercise was complemented by a stocktaking exercise conducted in October 2016 and a NAP Stocktaking Report was validated in November 2016 by a wide range of stakeholders. It consists of a basic assessment of the existing climate adaptation (and mitigation) initiatives, knowledge, capacity and implementation gaps, and the capacity development needs. During this workshop, stakeholders also approved a set of priorities to implement from the roadmap. Those priorities form the foundation of the present proposal.
8. With the support of the “Common Market for Eastern and Southern Africa” (COMESA), the DRC Government drafted a comprehensive **National Climate Change Policy, Strategy and Action Plan (PSPA-CC) 2016-2020[[4]](#footnote-4)**, which is developed to align with DRC’s vision of cutting emissions by 17% by the year 2030, with a focus on both mitigation and adaptation priorities. It is structured around four pillars – a climate change resilient economy, realizing adaptation and mitigation efforts, strengthening innovative technologies, and a financing strategy. The pillars constitute a solid foundation for the NAP process for the DRC and a significant contribution towards adaptation planning. As it contains a list of possible adaptation options that have already been appraised and financially estimated, this strategy will enable the government to reassess the adaptation options at their disposal, in light of the studies and information available. The advancement of the NAP process will build on the PSPA-CC.
9. Adaptation efforts identified by this plan include four different but interdependent areas of intervention:
   * Promoting resilient livelihoods in the face of climate change;
   * Disaster risk reduction to minimize the impact of climate hazards;
   * Building the capacity of local civil society and provincial and local government institutions to better support communities, households and individuals in their adaptation efforts;
   * Advocacy and social mobilization to understand the underlying causes of vulnerability.
10. The plan calls for activities on capacity building of local civil society and provincial and local government institutions to better support communities, households and individuals in their adaptation efforts and advocacy and social mobilization to understand the underlying causes of vulnerability. It also emphasises the need to strengthen the coordination and institutional frameworks, through strengthening of Ministry of Environment and Sustainable Development (MEDD’s Department of Sustainable Development (DDD), adopting a climate law or decree, and establishing a committee for the planning and implementation of the PSPA-CC.
11. The PSPA-CC outlines a list of selected priorities interventions on adaptation which are estimated to cost roughly USD 4,200 Million for the entire country and focuses on four programmes in eight provinces. The priorities were selected in a participatory manner, in consultation with all the stakeholders (central Government institutions representing the energy, health, land affairs, land-use planning, planning, and rural development, provincial governments’ representatives from the former provinces of Kinshasa, Katanga, Kasaï Oriental, Province Orientale et Kongo Central, financial and technical partners, civil society organizations, universities and research organizations, media, the private sector and local communities’ representatives) and with the help of researchers engaged in the process during the various validation workshops of the PSPA-CC document, both at the provincial level and in Kinshasa.
12. The sectors selected are those that are most significantly currently and due to be affected by climate change. Priorities identified in the INDC were selected by studying the comparative advantages of each province when integrating climate risks in the Provincial Development Plans. The NAPA also highlighted the importance of agriculture, water resources and coastal areas, which are highly vulnerable in the areas of food security and health. Therefore, these sectors are prioritized for adaptation interventions in the PSPA-CC and form the backbone of adaptation planning. The sectors and associated priority provinces are as follows:

* Agriculture, Rural Development (Bandundu; Equateur; Katanga; Kinshasa; Province Orientale)
* Energy, Transport, water, sanitation and health (Kasai Oriental, Katanga, Kinshasa, Kongo Central, Maniema)
* Conservation of Ecosystems, Forests, and Biodiversity (Kinshasa)
* Coastal Zone Management and Sea Level Rise (Kongo Central).

1. **These five provinces have gone through a basic sensitization on NAP and adaptation planning and have been chosen by stakeholders as the target provinces of this project, out of the eight listed in the PSPA-CC.**
2. The effectiveness of the **National Strategic Plan for Development (PNDS)**, as a first step, relies on the impact of adaptation planning in the DRC given the climate sensitive sectors which form its economy. However, as the PNSD currently stands, climate change adaptation is not sufficiently mainstreamed and addressed within each economic sector’s strategy. For example, the 2017-2021 plan aims to improve agricultural productivity, yet does not have a strategy laid out for addressing the likely changes the agriculture sector will experience in DRC under different climate change scenarios. It does not conside these very likely impacts in the not too distance future which will hinder the country’s ability to achieve its goal of economic development and higher GDP per capita as well as a number of other SDG targets.
3. The on-going state reforms give the Finance Departments of each ministry an autonomous status in terms of their sectoral budgeting planning processes. These reforms should be reflected in the NAP process. Namely, Finance Department Directors should be involved in the elaboration of the NAP. Among other things, this will lead to greater ownership and incentives at the sectoral level to pursue climate risk informed development activities within and across key sectors.
4. As part of PNSD, the Government of the DRC set out a clear M&E framework with which to measure progress on several indicators, using both qualitative and quantitative data. Quantitative data is collected from administrative data and data from other institutions, the population census, and the Government of the DRC. Qualitative data will be sourced from field surveys. The framework for M&E has national, regional and local components. The Minister of Planning is responsible for all M&E at the national level. The National Coordination Poverty Observatory, Ministry of Finance, Office of the Prime Minister, Ministry of Budget, Ministry of Interior, Inter-Ministerial Commission on Implementation of the National Poverty Reduction Strategy, and National Statistics Institute (INS) all contribute to the national framework. However, the way it is framed presently, it does not incorporate the tracking and assessment of climate change adaptation efforts.
5. The country’s **“Provincial Development Plans (PDP)”** also play an important role in adaptation planning processes, as they enable DRC to have focused policies for its several provinces. These policies are being developed for Kwilu (former Bandudu), Kongo Central, Lumumbashi (former Katanga) and Kasaï Oriental, with UNDP’s support, and estimated to cost between USD 100,000 – 200,000 per PDP, with potential co-financing from PIREDD. This effort is crucial in developing the decentralisation process of adaptation planning, which is very beneficial for long term accountability and sustainability of current efforts. These are not currently sufficiently targeted risk-informed.
6. The **National Investment Plan Agriculture (PNIA),** established in 2013, is the national planning framework for national and external funds for the agriculture and rural development sector. It brings together all current and future programs and projects in the sector, and specifically focuses on adaptation to climate change. The results from more resilient agricultural forestry systems projects, watershed management and anti-erosion measures can serve as crucial entry points for future NAP projects.
7. The following established mechanisms are important for advancing the adaptation planning process, but at present, are not fully equipped in terms of technical and institutional capacities. Some also have broad mandates, which do not explicitly include mainstreaming climate change adaptation, and a high turnover in governmental institutions and ministries prevents an effective implementation of a national coordinating mechanism:

* The **Steering Committee of the National Environment Policy**, set up with representatives from various ministries, secretariats of public administrations, universities, research centres and civil society, is supposed to ensure coherence and monitoring of the implementation of the different initiatives.
* The **Technical Committee in charge of Monitoring Reforms** (CTR) is a multi-sector committee chaired by the Ministry of Finance in charge of monitoring on-going reforms.
* The **coordinating mechanism used for REDD+** is very important for the NAP process, and could be a valuable complementary activity. The options developed are selected in a participatory way with the beneficiaries, who determine their prioritization. This process takes place in the context of beneficiary training workshops on climate change, and vulnerability of different sectors and adaptation options.
* The **SDG Observatory** will also serve as a complementary mechanism for the adaptation planning process. It monitors the progress of the country against the SDG indicators and supports the work of the national Focal Point of the High Level Political Forum on Sustainable Development. It will be a useful method of collaboration given the overlap with the SDGs. Additionally, UNDP is playing a strong role in ensuring this process in DRC, and thus, the organizational fluency will enable such partnerships.

1. Addressing gender considerations in the context of climate change risk management remains a significant issue in the DRC. In 2008, the Ministry of Gender, Family and Children, issued a “National Gender Integration Policy, Promotion of the Family and the Protection of Child,” which specifically highlights the imbalanced impact of environment related factors on women. As the primary domestic caretakers, rural women are disproportionately affected by the negative impacts of climate change. The document also highlights the imbalance of involving women in the environmental policy making space. Significant effort is required to assist DRC account for gender dimensions in advancing risk-informed development and budget planning.

**ADDITIONAL INFORMATION BASE**

1. The [Third National Communication to the UNFCCC](http://unfccc.int/resource/docs/natc/codnc3f.pdf), prepared as a part of a multi-sectoral process, provides the most recent overview and compilation of studies and vulnerability assessments on water resources, forests, health, coastal management, and energy. It therefore helps take stock of the existing studies and vulnerability assessments available and lists the gaps including:

* No reliable database on water resources leading to difficulties in sustainable management of these resources. These can be addressed through improved hydro-met capabilities (which are being covered by [a GEF - World Bank funded projec](https://www.thegef.org/project/strengthening-hydro-meteorological-and-climate-services)t, elaborated upon in Paragraph 27;
* Province and region specific climatic characteristics, which take into account the natural spatial and local variability to help inform adaptation planning, are not available;
* Different climactic scenario studies reveal inconclusive results on DRC’s future trends. For example, the CCCMA, MPI-ECHAM and CNRM studies pointed towards different scenarios for the future climatic trends for the country, thus exposing the vacuum of reliable and rigorous assessments and studies that decision-makers can trust.

1. The 2006 **NAPA** has highlighted all the climate vulnerability assessments and the urgency of adaptation options. It identified water resources, coastal areas, health, agriculture and land and ecosystem degradation as the priority areas. The NAP could use/extend the climatic scenarios (projections of temperatures and precipitations) established under the NAPA. Similarly, it could build on the findings of “*Institut National pour l'Etude et la Recherche Agronomiques* (INERA)”[[5]](#footnote-5) on drought-resistant crops, enhanced adaptive capacities of local population, early warning systems, and adaptation options in the coastal region.

**BARRIERS**

1. **There are several barriers to the advancement of the NAP process in DRC.** This proposal seeks to address some of the main barriers (detailed below) which are described below.
2. **The first barrier is the insufficient technical and institutional capacity for effective coordination and implementation of adaptation planning and investments:** The 2014 consultations and 2016 stocktaking exercise helped develop a map of stakeholders relevant to the NAP process, and the PSPA-CC also identifies key gaps which will hinder the adaptation planning process. The main capacity gaps related to coordination are:

* The MEDD/DDD is overseeing the effective implementation of national, regional, and international treaties and agreements, but has limited human resource based capacities to implement these projects;
* There is no clear legal framework for addressing the impacts on climate change;
* Stakeholders, especially at sectoral and provincial levels, have limited technical ability to mainstream climate change into planning and budgeting at the sectoral and national levels;
* Tools and approaches, such as cost-benefit analysis and investment appraisal, to assess and prioritize adaptation options are not widely mastered and disseminated;
* There is also a need to improve the understanding of CCA monitoring and evaluation through the identification of criteria and methods of evaluation;
* There is limited systematic communication on climate change and adaptation possibilities as there is no nation-wide communication strategy on climate change, and the human and financial resources dedicated to communication, awareness and advocacy on climate change are limited in country.

1. **The second barrier consists of the scattered policies and strategies, with limited integration of climate change into development planning, implementation and monitoring**: The multitude of initiatives for climate change lack an integrated and coherent approach. The main adaptation and mitigation-related strategies under implementation are the REDD+ (forest management, promotion of sustainable agriculture and renewable energy) and National Agriculture Investment Plan (PNIA).

* The PSPA-CC which has been adopted, still requires means of implementation and extensive alignment with the main strategic national development priorities, as presented in the baseline;
* The PSPA-CC was drafted through a consultative process but with a limited knowledge base as climate information is not sufficiently localized and vulnerability assessments are limited at provincial level.
* The limited and fragmented climate information, which prevents informed decision making for adaptation prioritisation and policy-making, is currently being addressed through the GEF-funded project with METTELSAT.
* Moreover, the PSPA-CC was validated before the adoption of the PNSD;
* The overall awareness of climate impacts on development and of means to integrate these into development planning at national, sectoral and provincial level is limited among key stakeholders such as officials in charge of planning and budget.

1. **The third barrier is the limited domestic financing to implement sustainable adaptation solutions for the long term:** ThePSPA-CC has identified a gap of 4200 million USD for implementing the required adaptation programmes. The 2015 NAP Roadmap could not be implemented due to the financial and budgetary constraints.
   * The PSPA-CC contains priority interventions and sections on means of implementation but no strategy to leverage these;
   * There is also a need to bridge the gap with domestic financing**;**
   * A majority of the private sector is not aware of the climate related issues, and how it impacts them. 80% of the business community of DRC is made of SMEs, which lack the financial access and de-risked environment to innovate in climate-sensitive products and services. The economy, which is not as dynamic as other developing nations, is not able to absorb and promote these types of activities.

# Strategy

1. DRC’s national development priorities do not sufficiently integrate climate change adaptation at the moment. Additionally, the capacity to finance and sustain these type of initiatives is challenging given DRC’s current economic and fiscal situation. This creates a problem for the relevant stakeholders when making important decisions on CCA policy and actions.
2. Thus, keeping in mind the challenges outlined in the section above, the project’s objective is to advance the adaptation planning process for the identified priority climate sensitive sectors and provinces in DRC through the following inter-related outcomes:

**Outcome 1: The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning.**

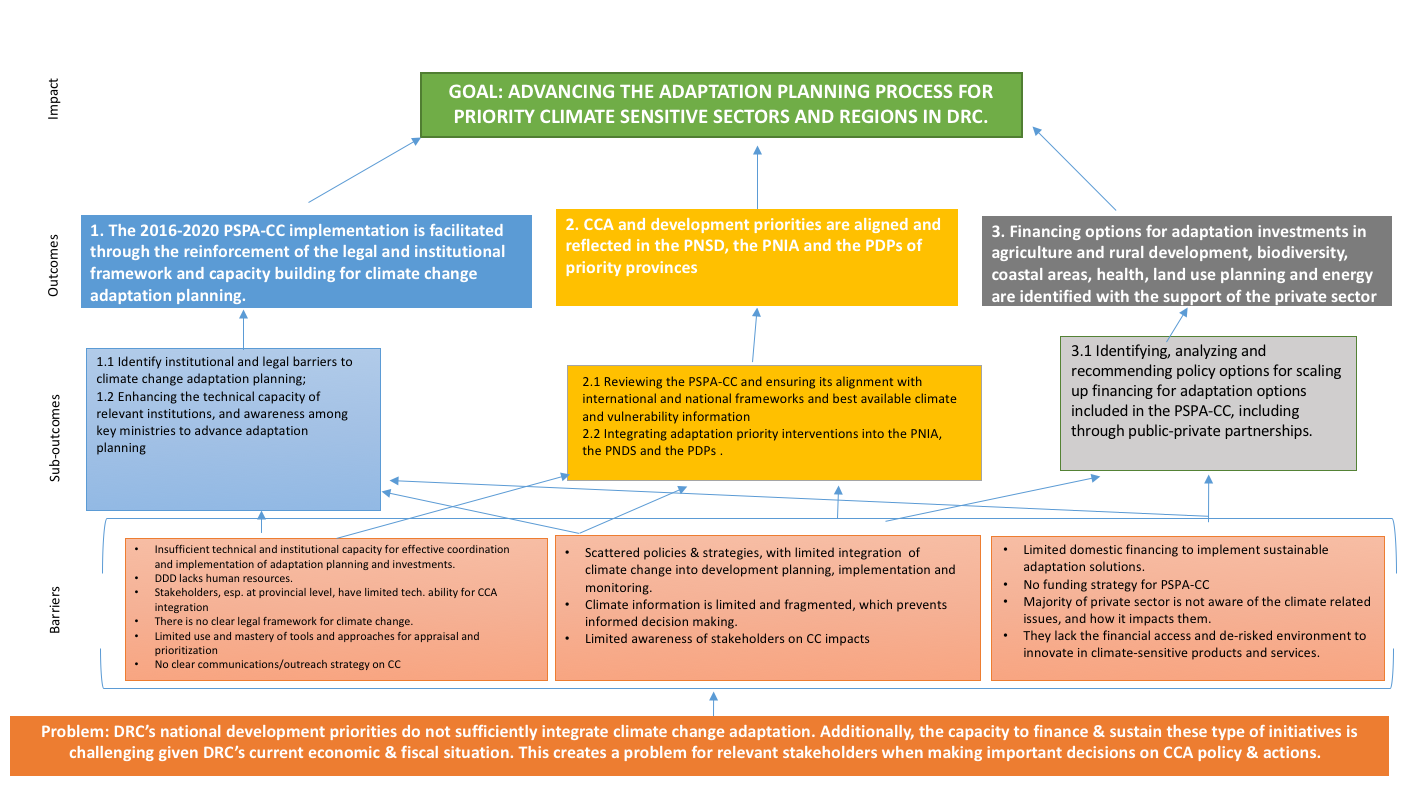
* + Identify institutional and legal barriers to climate change adaptation planning and enhance coordination through the establishment of the coordination mechanism for climate change adaptation planning.
    - * Enhancing the technical capacity of relevant institutions, and awareness among key stakeholders to advance adaptation planning
    - This will be addressed through the drafting of a Climate Change Law, establishing an Inter-ministerial coordination mechanism, assessing the capacities for adaptation planning and budgeting of up to 10 institutions and training additional staff.

**Outcome 2**: **CCA and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces**

* Reviewing the PSPA-CC and ensuring its alignment with international and national frameworks and best available climate and vulnerability information
* Integrating adaptation priority interventions into the PNIA, the PNDS and the PDPs
  + - This will be addressed by updating the NAP roadmap, updating the PSPA-CC with revised priority actions and/or provincial focus, updating PNSD or PNSD review to fully integrate CCA priorities, and including atleast 2 CCA relevant indicators in PNSD M&E.

**Outcome 3: Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector**

* Identifying, analyzing and recommending policy options for scaling up financing for adaptation options included in the PSPA-CC, including through public-private partnerships.
  + - This will be addressed through developing 1 concept note through rigorous economic, financial, social and environment and gender analyses.

**

1. **Considerations** **of vulnerable populations** are also at the centre of the NAP process. It emphasizes gender inclusiveness in climate change adaptation planning and budgeting, recognizing that adaptation cannot be successful without the involvement of all Congolese people, in particular women, who are the main actors in the education of future generations.

* During the implementation process, gender concerns will be brought to the forefront through (i) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (ii) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; and (iii) the development support, evaluation and selection of gender-sensitive initiatives for further implementation.
* With the support from the Ministry for Women, Children and local NGOs (e.g. CONAFED - National Committee Women and Development, Network of African Women for Sustainable Development, Women & Environment, etc.), the proposed project will ensure gender analysis of the link between climate change and sustainable development. It will also develop training programs to ensure the process is gender balanced and factors in the most vulnerable populations concerned.
* This will involve local organizations in the provinces and national NGOs (REPALEF-Aboriginal People Network for sustainable management of DRC’s forest ecosystems) among others.
* A full time gender expert will be recruited to be part of the project team at DDD to ensure the integration of gender consideration throughout the project’s implementation.

1. The project will be implemented with extensive stakeholder consultations, studies, and assessments to foster national and provincial ownership and embedment into existing processes so as to ensure the sustainability of its outcomes.

# Results and Partnerships

The proposed project will aim to strengthen the integration of climate change adaptation into development planning. It will build on the existing institutional and policy framework, namely the 2016 – 2020 National Climate Change Policy and Strategy and Action Plan (PSPA-CC), the Nationally Determined Contributions submitted in 2015 and the National Development Plan, as well as other initiatives which contribute to adaptation planning in DR Congo. This will constitute the first phase of a GCF-NAP readiness support project. A proposal for the second phase will be drafted in the course of the current proposed project, and will build on assessments and activities undertaken under this phase.

The project proposes three outcomes:

* **Outcome 1:** The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning
* **Outcome 2:** CCA, sectoral and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces
* **Outcome 3:** Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector.

The project will focus on five of the eight provinces listed in PSPA-CC, i.e. **Kwilu, Tshopo, Haut Katanga, Kinshasa** and **Kongo Central Provinces** as NAP and adaptation planning sensitization has started there and information is more readily available, as described in the baseline.

This project strives to strengthen long-term capacities of national and provincial institutions to ensure a stronger integration of climate change adaptation into planning and budgeting processes at national, sectoral and provincial levels. It builds on existing institutional and policy frameworks, especially the PSPA-CC and the PNSD, and seeks to strengthen the implementation of these strategic frameworks. This should lead to a stronger sustainability of the support provided as it would gradually be fully embedded into the country’s development processes. In addition, the financing strategy and round table, and involvement of private sector throughout the project and synergies with other initiatives, should provide a basis to mobilize additional funds both domestically and through external donors. The project also includes activities to identify gaps at the end of the first phase and develop another proposal for a second GCF NAP phase.

*A description of the activities under each of the three outputs is provided below:*

**OUTCOME 1. The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning.**

The PSPA-CC prioritizes **four sets of sectors** and **eight provinces**. It outlines adaptation options and other measures required to address climate change adaptation challenges in DRC. It also clearly identifies capacity gaps at institutional, organisational and operational levels which hinder the integration of CCA into national and sectoral planning processes. This outcome will implement foundational activities to enhance multi-sectoral coordination, and the abilities of all key actors to steer and/or be engaged in adaptation planning, especially at national level and in the five targeted provinces.

* 1. **Identify institutional and legal barriers to climate change adaptation planning and enhance coordination through the establishment of the coordination mechanism for climate change adaptation planning.**

The PSPA-CC and the NAP Stocktaking report broadly point out the limitations of the institutional and legal frameworks, as described in section 2.2. This sub outcome addresses some of these limitations, namely the need to better understand the barriers, to clarify the legal framework and to have a committee to oversee and monitor the implementation of the PSPA-CC.

* + 1. **Review the institutional framework for climate change adaptation planning, budgeting and integration into national, sectoral and provincial processes:** In order to implement central elements of the PNPA-CC and NAP roadmap, further in-depth assessments, building on the 2016-2020 National Climate Change Policy and Strategy and Action Plan (PSPA-CC) and the GCF national coordination, must be conducted to understand institutional barriers for climate change integration at national and provincial levels (in the five target provinces). These would support the work of the national committee for the planning and monitoring of the PSPA-CC, which is one of the key mechanisms for the implementation of the Policy and its Action Plan, but is yet to be set up.
    2. **Review and strengthen the legal and regulatory framework for climate change integration:** This activity, in consultation with the Parliament’s Environment Committee and legal consultants, would help identify the gaps in clear legislation related to the integration of climate change adaptation in development planning in DRC, as outlined in the PNPA-CC, and propose a draft climate change law/decree to the Parliament. The adoption of the legal act would be facilitated through sensitization in activity 2.1 but would not be an output of this project as it would be dependent on too broad a range of political factors, which are outside the scope of this project. The draft would be presented to the Parliament’s Environmental Committee or Office of the President/Prime Minister. The law, if adopted, would seek to establish the importance of climate change, provide a clear mandate for climate change coordination and a legal basis for CC integration.
    3. **Set up a national coordination mechanism for climate change adaptation planning:** The sub-outcome would help establish a sub-committee on CCA and strengthen linkages with other coordination mechanisms such as the CTR, the REDD+ Committee and the GCF National Coordination. This would start with the identification of focal points for CCA in key ministries (especially Ministries of Planning, Budget, Finances, Environment, Decentralization, Agriculture, Rural Development, Land use Planning), research institutions (INERA, METTELSAT, Universities, etc.), private sector, NGOs, local communities, and technical & financial partners. These focal points will represent their sectors in CCA-related discussions and communicating key information to their respective sectors. In addition, a database will be set up to compile all relevant climate change – related information and would hence contribute to better coordination.
  1. **Enhancing the technical capacity of relevant institutions, and awareness among key stakeholders to advance adaptation planning.**

Institutional and technical skills and abilities to mainstream CCA into budgeting and planning processes are still limited. Capacity building of the lead stakeholders will ensure that they are engaged in the process and that overall national ownership of the NAP and wider adaptation planning processes is secured. The sub-outcome would consist in four main activities:

* + 1. **Review and strengthen the capacities of the MEDD/DDD and understand capacity needs of other members of the sub-committee on CCA planning:** A basic capacity gaps assessment, using the 2012 Least Developed Countries Experts Group (LEG) Technical Guidelines on NAP and the 2015 UNITAR Skills Assessment for National Adaptation Planning publication, was conducted in the framework of the NAP stock-take. This needs to be supplemented by more targeted and detailed assessments in up to ten institutions involved in the sub-committee to provide a strong baseline for the capacity development activities. The target groups would be the MEDD’s Department of Sustainable Development (MEDD/DDD) as it plays a key role in steering and coordinating adaptation planning processes, as well as the main institutions listed under sub-outcome 1.1.2 and which are part of the sub-committee. Capacity needs for additional areas are included in a second funding proposal to the GCF or other donors. Besides, the project would provide additional human resources at the MEDD/DDD for it to be able to play its coordination and technical support role. The functions will, at the conclusion of GCF funding, be integrated into the organogram of the DDD to ensure the sustainability of the coordination mechanism.
    2. **Implement priority interventions of the capacity development plan:** Customizedcapacity development plans will result from the assessments for the target institutions undertaken in input 1.2.1, but given the limited scope of this project, activities would only be implemented towards the stakeholders from the 4 sets of sectors targeted by the PSPA-CC and this project. The technical capacity gaps include: access and use of climate information for development and sectoral planning, tools for integration, appraisal and prioritization of CCA into development plans and budgets (incl. econometric modelling techniques), gender mainstreaming, project development skills, monitoring and evaluation of CCA. These would be assessed and refined and will all be included in a training programme which will be implemented in these areas. A maximum of four capacity areas, which are included in the capacity development plans, will be carried out under this project. This would help sectoral ministries oversee the implementation of the four priority programmes in the targeted provinces, as identified in the PSPA-CC, as well as develop proposals to leverage additional funds to do so.
    3. **Outreach and advocacy on PSPA-CC to enhance awareness of civil society, research institutes, and private sector on adaptation action:** Advocacy and sensitization on climate change is also one of the four key areas of intervention of the PSPA-CC as shown in the baseline section. They will especially target stakeholders who play a key role in community development, research and the economy. These communication and outreach activities will focus on providing the personnel from these institutions and other stakeholders with the skills to communicate complex environmental models and economic models in an easy-to-digest manner. This will be essential to build awareness of CCA planning.

**OUTCOME 2. CCA and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces**

As described in section 2, four priority sets of sectors have been identified and five provinces will be targeted out of the eight in the PSPA-CC. This outcome will focus on ensuring that the PSPA-CC is in line with other related processes under the UNFCCC, namely the NDC implementation and GCF Country Programming. Furthermore, the prioritized interventions will be integrated into development planning processes at national and provincial levels. A review of the PSPA-CC will also be conducted towards the end of this first phase to ensure that it is adequate and based on the best available information.

* 1. **Reviewing the PSPA-CC and ensuring its alignment with international and national frameworks and best available climate and vulnerability information.**

As the PSPA-CC was recently adopted, and has only been minimally implemented, the Government of DRC recognizes the potential duplication of creating a separate and distinct NAP process at this stage. Therefore, the sub-outcome would consist of two main activities:

* + 1. **Re-launch the NAP process:** This activity will ensure that the PSPA-CC is in line with the *LEG Technical Guidelines* and other UNFCCC guidance and that DRC fulfils its commitments under the Climate Change Framework Convention, especially with regards to the NAP, the transparency framework and adaptation reporting, and the NDC implementation. It will also ensure that adaptation priorities, as identified in the PSPA-CC and NDC, are well reflected in the GCF Country Programming under development. It will also require the political endorsement of high-level decision makers, which will also include technical and financial partners at bilateral and multilateral levels. This will be guaranteed through two high-level workshops i.e. 1) sensitization and introduction to the PSPA-CC and 2) validation of technical recommendations. These will endorse the national priorities of the PSPA-CC and discuss the NAP-NDC-GCF frameworks. They will also involve provincial Governments’ representatives in collaboration with the NDC Partnership project. A revised NAP roadmap will be validated at the end of the consultations and a report on progress on NAP will also be submitted to the UNFCCC.
    2. **Review the PSPA-CC’s adaptation and provincial priorities:** In light of climate information, vulnerability assessments and gender analyses for the provinces, and national development priorities, and using tools and approaches officials were trained on in activity 1.2.2 and with additional information produced in 2.2.3**:** as described in the baseline, the knowledge base for the PSPA-CC was limited and it was validated before the development of the PNSD. This project supplements the knowledge base being developed through more accurate and localized climate information (GEF-World Bank project) and vulnerability assessments (GEF-UNDP projects) with the development of technical capacities for CCA integration and adaptation options prioritization (under 1.2.2). This activity will hence review the PSPA-CC in light of climate information, vulnerability assessments and gender analyses for the five target provinces, and the PNSD, and using tools and approaches to suggest recommendations for a revised PSPA-CC. This would be conducted in the last quarter of the project to build on previous activities. The gaps identified will feed into a funding project for a second phase of this project, which would respond to recommendations made in the review.
  1. **Integrating adaptation priority interventions into the PNIA, the PNDS and the PDPs.**

One of the main gaps identified in the NAP Stocktaking Report and in the PSPA-CC is the limited integration of adaptation priorities into national development planning processes. Although climate change is understood as a major threat to the country’s development, it is mostly addressed as a sectoral issue. This sub-outcome will be aided by the capacity development activities in Outcome 1 which will provide a deeper understanding of DRC’s legal framework for CCA integration, as well as some tools to key stakeholders for climate change adaptation planning. The sub-outcome would consist of three main activities:

* + 1. **Strengthen the alignment of adaptation and development priorities:** A key action is to increase the involvement of the Ministries of Planning, Budget and Finance, and the departments in charge of planning and budget in key ministries. Sensitization sessions on climate change are organized towards the technical reforms monitoring committee of the Min. of Finance, Min. of Budget, the Ministry of Planning, the SDG Observatory, and relevant Parliamentary committees (in relation to activity 1.1.1.) and other key development planning and budgeting stakeholders. This is part of the fourth priority area of the PSPA-CC for adaptation. This would allow for an increased recognition of climate change risks and opportunities in the national and main sectors’ budgets, which would also require stronger awareness by the relevant parliamentary committees. The activity will also focus on ensuring that CCA priorities that are gender-sensitive are fully integrated and aligned with the priorities of the PNSD and PNIA.
    2. **Integrate CCA into the PNDS monitoring and evaluation mechanism:** Another input will address the need to strengthen the monitoring and evaluation of adaptation interventions, through defining CCA-relevant indicators, projected results, and impact indicators. This should be aligned with existing M&E mechanisms such as the PNSD’s M&E system and the MRV system which is foreseen under the NDC implementation, as well as the SDG monitoring system through the SDG Observatory. The project would hence closely work with the UNDP NDC Partnership project, the Ministry of Planning which leads the PNSD implementation, and the SDG Observatory.
    3. **Support the integration of CCA into the provincial development plans of the target provinces:** In the five target provinces, the project will contribute to the decentralization processes, which UNDP currently supports, by issuing guidelines on CC integration for all provinces, and supporting the integration of the PSPA-CC priorities into the PDPs of the five priority provinces. This would be done in conjunction with activity 2.1.2 which will review the PSPA-CC.

**OUTCOME 3: Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector**

The outcome will contribute to the implementation of the PSPA-CC which has broad costing of all priority areas and proposed actions, but which need to be further unpacked. This will build on activities under input 1.2.2 which will provide tools for the appraisal of options and project development, and on activities under sub-outcome 2.1 with the synergies with the GCF Country Programme and GCF readiness project on private sector engagement. The outcome would consist of:

* 1. **Identifying, analyzing and recommending policy options for scaling up financing for adaptation options included in the PSPA-CC, including through public-private partnerships.**
     1. **Develop a concept note for at least 1 adaptation option in the agricultural and rural development sectors identified in the PSPA-CC,** building on vulnerability assessments and climate information developed through existing projects in these areas: For the NAP process to be sustainable and for greater mainstreaming of climate change at the national level, it is important to conduct studies to inform future investments. These would consist in technical assessments and identification bankable project ideas. Given the scope of this project, only one concept note will be drafted, for one of the priority actions of the PSPA-CC. Agriculture and rural development will be prioritized as they are the main focuses on the 2017-2021 PNSD. For example, the GCF-funded private sector readiness project proposal outlines opportunities for the private sector in increasing ecotourism, and promoting agricultural entrepreneurship, which could be built on for this activity. The project would also partner with the GCF private sector engagement project to identify opportunities for public-private partnerships in support of investment in new climate sensitive technologies for the adaptation options proposed. This concept note could be submitted to external donors for further development into a full proposal.
     2. **Develop a financing strategy for the PSPA-CC through identification of domestic, international and private sector funding:** A financing strategy will also be developed to identify domestic sources of funding, as well as bilateral and multilateral donors and the private sector for the PSPA-CC. The strategy will be drafted with the aim of ensuring the sustainability and longevity of the initiatives. Building on the identified adaptation options and strategies, which require large investments, the opportunities are also immense for exploring public-private partnerships, and the role of the private sector in general to provide climate-related technologies, services, and funding. This would also be implemented in close cooperation with the GCF Readiness above-mentioned project.

Partnerships:

1. **The NDC Partnership**, led by UNDP, is supporting the NDC implementation efforts in DRC. As partners working on mitigation efforts of the PSPA-CC, the NDC Partnership is an important stakeholder to be involved in several aspects of adaptation planning. Continuous cooperation will therefore be necessary and co-funding and co-organization of events will be sought as much as possible. The simultaneous work they are conducting on the MRV systems of the government will provide strong co-benefits to the adaptation planning processes too.
2. With the help of **GCF’s Readiness Programme funds**, the DRC is also implementing the last part of the first phase of a project with the *Centre de Suivi Ecologique du Sénégal (CSE)* as a delivery partner to strengthen national capacities and the NDA and the National GCF Coordination. At the time of writing this proposal, the disbursement process for the second phase was under way (National Coordination of the Clean Development Mechanism). DRC is also currently submitting a request to the GCF for a readiness grant on private sector engagement, which was endorsed in May 2017 but is pending an adequate delivery partner. This project aims to **foster private sector engagement**, and to promote the attractiveness of the DRC for investors and companies on several climate-sensitive economic sectors (forestry, agriculture, infrastructure projects) and climate services (meteorological services, climate monitoring and risk assessment, early warning systems etc.). Both grants provide strong mutual benefits to advance the adaptation process.
3. DRC is currently also receiving a grant from the Global Environment Facility’s Least Developed Countries Fund on **“Strengthening Hydro-Meteorological and Climate Services**,” through the World Bank, which was approved in 2014. This project which is implemented by METTELSAT, the national hydro-meteorological agency which monitors and forecasts weather-pattern changes, rainfall and climate and is responsible for remote sensing, operational hydrology, thematic cartography, and environmental monitoring. This project aims to strengthen the met office with institutional and regulatory capacity building and implementation support; modernize equipment, facilities and infrastructure for basic observation and forecasting; and improve hydro-metrological information service delivery. The ongoing implementation of this project has immense added value to advancing the NAP process, especially to strengthen the information base.
4. UNDP, with the support of the GEF-LDCF, is also supporting the government in implementing two other projects which are also complementary to the proposed adaptation planning project:

* *“Resilience of Muanda’s communities from coastal erosion (2015 – 2020)”* (5,355,000 USD) in the Kongo Central (formally Bas Congo) which prepared coastal erosion risks profiles, raised awareness and provided tools for integration to the provincial Government.
* *“Improving Women and Children’s Resilience and Capacity to Adapt to Climate Change in the DRC (2014 – 2019)”* (4,725,000 USD) in 5 municipalities of Kwilu (former Bandudu), Kongo Central, Lumumbashi (former Katanga) and Kasaï Oriental. Although it focuses on livelihoods activities, it provides further information on climate change impacts on women and vulnerable groups and adaptation options.

**Risks and Assumptions***:**Specify the key risks that can threaten the achievement of results through the chosen strategy and the assumptions on which the project results depend. Describe how project risks will be mitigated, especially how potential adverse social and environmental impacts will be avoided where possible and otherwise mitigated and managed. All social and environmental risks must be included in the full risk log included in Annex.*

Please see Risk Log in Annex for full details on risk management. 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 probablity are high (i.e. when impact is rated as 5 and probablity is 1,2,3,4, 5 or when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported in the Annual Project. The overall risk categorization of the project is assessed as low as there are no field activities involved and all of its activities are focused on technical assistance for building capacities for government officials.

**Stakeholder engagement:** Stakeholder consultations and exchanges were conducted during 2014 and 2016[[6]](#footnote-6) with:

* Various departments of the Ministry of Environment and Sustainable Development;
* Ministry of Planning;
* Ministry of Agriculture;
* Members of the rural development sector (Secretary General of Rural Development, and the Director of the General Secretariat of Rural Development);
* Energy sector (Secretary General of Energy and Hydraulic Resources, Director of the Electricity Department at the General Secretariat of Energy and Hydraulic Resources, Head of Development at the Ministry of Hydraulic and Electrical Resources);
* Scientific research sector (researchers at the National Institute for Agricultural Research and Research); meteorological sector (Technical Director, Chief Financial Officer, Director of Planning, Operations, and Administration);
* Representatives of priority provinces of Kinshasa, Katanga, Kasaï Oriental, Province Orientale et Kongo Central;
* Partners from the AFD and World Bank.

Several stakeholders were consulted at different stages through the NAP process, especially in the development of the PSPA-CC, and through project development for NAPA. There was also an extensive engagement with communities which informed the formulation of the PSPA-CC.

The continued NAP advancement process will see the inclusion of several other NGOs and CSOs who will be representative of vulnerable populations, like women and indigenous people. Organizations such as the Ministry for Women and Children, local NGOs like CONAFED (National Committee Women and Development), the Network of African Women for Sustainable Development, Women & Environment, etc. will be engaged in the NAP process. Additionally, local organizations in the provinces and national NGOs (REPALEF-Aboriginal People Network for sustainable management of DRC’s forest ecosystems) will be involved. The proposed project will ensure gender analysis of the link between climate change and sustainable development. It will also develop training programs to ensure the process is gender balanced and factors in the most vulnerable populations concerned.

**South-South and Triangular Cooperation (SSTrC**):This project is country-specific. However, it borrows from the global principles of CCA practice. The project’s learning and knowledge aspect includes an exchange of lessons and best practices in adaptation with other countries in the region facing similar climate shocks and barriers to adaptation including Benin, Mali, Burkina Faso, or Chad. No collaboration with these countries for the implementation of project activities is planned but knowledge platforms within UNDP between country offices and regional offices can be used to share experiences at a regional level and between LDCs in the region.

The creation of knowledge platforms between the countries and UNDP regional offices concerning the promotion of sharing experiences and expertise should take into consideration the components of SSTrC in order to set the tone of this kind of cooperation. Equality, reciprocity, and participation should be the guiding principles of this initiative and its organizational model should be flexible and adaptable to different environments.

**Sustainability and Scaling Up:** The following established mechanisms are important for advancing the adaptation planning process, but at present, are not fully equipped in terms of technical and institutional capacities. Some also have broad mandates, which do not explicitly include mainstreaming climate change adaptation, and a high turnover in governmental institutions and ministries prevents an effective implementation of a national coordinating mechanism:

* The **Steering Committee of the National Environment Policy**, set up with representatives from various ministries, secretariats of public administrations, universities, research centres and civil society, is supposed to ensure coherence and monitoring of the implementation of the different initiatives.
* The **Technical Committee in charge of Monitoring Reforms** (CTR) is a multi-sector committee chaired by the Ministry of Finance in charge of monitoring on-going reforms.
* The **coordinating mechanism used for REDD+** is very important for the NAP process, and could be a valuable complementary activity. The options developed are selected in a participatory way with the beneficiaries, who determine their prioritization. This process takes place in the context of beneficiary training workshops on climate change, and vulnerability of different sectors and adaptation options.

The **SDG Observatory** will also serve as a complementary mechanism for the adaptation planning process. It monitors the progress of the country against the SDG indicators and supports the work of the national Focal Point of the High Level Political Forum on Sustainable Development. It will be a useful method of collaboration given the overlap with the SDGs. Additionally, UNDP is playing a strong role in ensuring this process in DRC, and thus, the organizational fluency will enable such partnerships.*.*

# 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.

A Climate Change Policy Specialist will act as **Project Manager** and run the project on a day-to-day basis on behalf of UNDP within the constraints laid down by the Project Board. The project management unit will be based at the MEDD. 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 an administrative and a financial assistant for operational aspects of the project. In addition, a national M&E Expert, a national gender expert and a climate science expert and a communications/knowledge management expert will provide guidance and deliver specific activities of the project. They will be based at the DDD and fully contribute to its mandate. These posts should eventually be budgeted for and integrated into the staff structure of the DDD.

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 Policy[[7]](#footnote-7) and the relevant GCF policy.

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[[8]](#footnote-8) and the GCF Disclosure Policy[[9]](#footnote-9)

# Project Results Framework

|  |  |  |  |
| --- | --- | --- | --- |
| **OUTCOMES** | **BASELINE** | **TARGET** | **ACTIVITIES**  *Please including key outputs or deliverables where applicable* |
| **OUTCOME 1:**  **The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning** |  |  |  |
| * 1. Identify institutional and legal barriers to climate change adaptation planning and enhance coordination through the establishment of the coordination mechanism for climate change adaptation planning | PSPA-CC and NDC but no climate change law  No effective climate change coordination mechanism | Climate Change Law drafted  Inter-ministerial coordination mechanism established | * + 1. Review the institutional framework for climate change adaptation planning, budgeting and integration into national, sectoral and provincial processes, building on the 2016-2020 National Climate Change Policy and Strategy and Action Plan (PSPA-CC) and the GCF national coordination * An institutional barrier assessment for climate change integration at national level is conducted and the report is validated through a workshop (M2-M3) * An institutional barrier and capacity needs assessment for climate change integration in 5 provinces and the reports are validated through workshops (Kwilu, Tshopo, Haut Katanga, Kinshasa and Kongo Central) is conducted (M12-M18)   + 1. Review and strengthen the legal and regulatory framework for climate change integration, as requested in the PSPA-CC * A legal firm is contracted * Consultations with the Parliament’s environment committee are conducted * A review is produced to identify gaps in legislation and present options * A draft climate change law/decree is available and submitted to the Parliament’s Environmental Committee   + 1. Set up a national coordination mechanism for climate change adaptation planning, under a national committee for the planning and monitoring of the PSPA-CC, led by the Ministry of Environment and Sustainable Development (MEDD), by identifying focal points for CCA in key ministries (especially Ministries of Planning, Budget, Finances, Environment, Decentralization, Agriculture, Rural Development, Land use Planning), research institutions (INERA, METTELSAT, Universities, etc.), private sector, NGOs, local communities, and technical & financial partners. These focal points will represent their sectors in CCA-related discussions and communicating key information to their respective sectors. * A sub-committee on CCA is set up (by M2-M4) * A stakeholders’ engagement plan with specific roles in the NAP process is drafted (M2) * 6 meetings are organized (every 2 months) * An online database is set up and managed by the MEDD/DDD to compile information on climate change information, policies and strategies, studies, and programmes and projects (M2-M6) |
| * 1. Enhancing the technical capacity of relevant institutions and awareness among key stakeholders to advance adaptation planning | No in-depth capacity assessment for CCA integration conducted  Limited capacities in certain institutions (to be assessed during project) | Capacities for adaptation planning and budgeting of up to 10 institutions assessed  30% additional staff trained | * + 1. Review and strengthen the capacities of the MEDD’s Department of Sustainable Development (MEDD/DDD) to coordinate the adaptation planning process and steer the national committee for the planning and monitoring of the PSPA-CC, and understand capacity needs of other members of the sub-committee on CCA planning (see list in 1.1.2) * A capacity assessment on CCA planning is undertaken in up to 10 institutions (M2-M4) * A capacity development plan is drafted and validated for up to 10 institutions and validated through a workshop (M4) * Additional technical expertise for CCA exists in the MEDD/DD (M2-M18) * Capacity needs for additional areas are included in the funding proposal to the GCF (M18)   + 1. Implement priority interventions of the capacity development plan in areas such as access and use of climate information for development and sectoral planning, tools for integration, appraisal and prioritization of CCA (incl. econometric modelling techniques), project development, gender mainstreaming, monitoring and evaluation of CCA * A training programme is implemented in up to 4 priority areas of the plan and in partnership with a national training institution supported by international experts (M5-M18)   + 1. Outreach and advocacy on PSPA-CC to enhance awareness of civil society, research institutes, and private sector on adaptation action * A communication plan for the PSPA-CC is developed and targets civil society organizations and the private sector at national level and in the 5 priority provinces (M2-M4) * Outreach activities are conducted: flyers on climate change impacts, trainings for community radios (M5-M8) * A review of universities and research programmes on climate change adaptation is conducted and an action plan to strengthen CC research is developed (M6-M12) |
|  |  |  |  |
| **OUTCOME 2:**  **CCA and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces** |  |  |  |
| * 1. Reviewing the PSPA-CC and ensuring its alignment with international and national frameworks and best available climate and vulnerability information | NAP roadmap from 2014  PSPA-CC validated for 2016-2020 that includes 4 priority actions | NAP roadmap updated  Updated PSPA-CC with revised priority actions and/or provincial focus | * + 1. Re-launch the NAP process in light of the adoption of the PSPA-CC and NDC, and in alignment with the NDC implementation and GCF national coordination * Two high-level national consultation workshops to endorse the national priorities of the PSPA-CC and discuss the NAP-NDC-GCF frameworks are organized and involve provincial Governments’ representatives in collaboration with the NDC Partnership project(M3) * A revised NAP roadmap is validated (M3) * Report on progress on NAP is submitted to the UNFCCC (M10)   + 1. Review the PSPA-CC’s adaptation and provincial prioritiesin light of climate information, vulnerability assessments and gender analyses for the provinces, and national development priorities, and using tools and approaches officials were trained on in activity 1.2.2 and with additional information produced in 2.2.3 * A mid-term review of the PSPA-CC implementation is conducted, using most recent available information and PNSD (M10-M12) * A workshop is organized to consult stakeholders on priorities (M13) * The PSPA-CC is updated with regards to sectoral and provincial priorities and includes gender and indigenous people’s considerations (M14-M16) * A second proposal to support the DRC NAP process is submitted to the GCF to address gaps identified in specific sector(s) and/or provinces (M18) |
| * 1. Integrating adaptation priority interventions into the PNIA, the PNDS and the PDPs | PNSD marginally integrates CCA  No CCA indicators in the PNSD M&E system | Updated PNSD or PNSD review fully integrates CCA priorities  At least 2 CCA – relevant indicators in PNSD M&E | * + 1. Strengthen the alignment of adaptation and development priorities, by increasing the involvement of the Min. of Planning, Budget and Finance, and the departments in charge of planning and budget in key ministries, as well as ensuring linkages with the 2016-2020 National Development Plan (PNSD) and ensuring adaptation integration into the PNIA. This would consist in sensitization sessions and a review of the PNIA and PNSD. * Sensitization sessions on climate change are organized towards the technical reforms monitoring committee of the Min. of Finance, Min. of Budget, the Ministry of Planning, the SDG Observatory, and relevant Parliamentary committees (in relation to activity 1.1.1.) and other key development planning and budgeting stakeholders (M3-M6) * A gender analysis of the climate change and development nexus, and of CC impacts on indigenous peoples are conducted, especially for the 4 priority sectors (M3-M6) * A review of CCA and agriculture is conducted and the updated PNIA is aligned with PSPA-CC and fully integrates gender and indigenous people’s considerations (M13-M16) * The mid-term review of the PNSD fully considers climate change adaptation (M12)   + 1. Integrate CCA into the PNSD monitoring and evaluation mechanism * CCA-relevant indicators, projected results, and impact indicators are defined * These are integrated into the NDP M&E and SDG’s monitoring system (through Min. of Planning and SDG Observatory) and the overall CC MRV system ( M12)   + 1. Support the integration of CCA into the provincial development plans of the five target provinces by ensuring that the priorities identified in the PSPA-CC are included in the PDPs * Guidelines on provincial – level CC integration are developed (M6-M9) * Existing vulnerability assessments are reviewed and completed for the five provinces (M6-M12) * Technical inputs on the climate change and development nexus are provided into the PDP development process (M12-M18) |
|  |  |  |  |
| **OUTCOME 3:**  Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector. |  |  |  |
| * 1. Identify, analyze and recommend policy options for scaling up financing for adaptation options included in the PSPA-CC, including through public-private partnerships | Adaptation options are broadly identified and their costs are estimated in the PSPA-CC | 1 concept note is developed through technical assessments | * + 1. Develop a concept note for at least 1 adaptation option in the agricultural and rural development sectors, as identified in the PSPA-CC and PNSD, building on vulnerability assessments and climate information developed through existing projects in these areas * Technical assessments are conducted to develop one bankable project idea (M6-M12) * Opportunities for the private sector to provide climate-sensible technologies and services, and fund adaptation options are identified in partnership with the GCF Readiness project on private sector engagement for the specific project (M6-M12) * A concept note is validated through a wide stakeholders’ consultation process (M12-M14)   + 1. Develop a financing strategy for the PSPA-CC through identification of domestic, international and private sector funding * A report on climate change adaptation related funding is available (M6-M9) * A round table on CCA financing is organised (M9) * A financing strategy for the PSPA-CC is developed (M10-M12) |

# Monitoring and Evaluation (M&E) Plan

*Annotated project document guidance: Complete the M&E budget of this section. Do not remove the standard text copied below. Add additional text as necessary.*

----------

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](http://www.undp.org/content/undp/en/home/operations/accountability/programme_and_operationspoliciesandprocedures.html) and [UNDP Evaluation Policy](http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation_policyofundp.html). 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 annually in time for evidence-based reporting in the 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](http://www.undp.org/content/undp/en/home/operations/accountability/programme_and_operationspoliciesandprocedures.html). 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.[[10]](#footnote-10) 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 inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

GCF Annual Project Report (due 1 March 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 annual project report covering 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. The APR will include reporting of: environmental and social risks and related management plans, gender, co-financing and financial commitments, amongst other issues. The annual project report will be due for submission to the GCF in the first quarter of each year for the duration of the project. The last APR will be due for submission within 3 months after the project completion date.

The Annual Project Report submitted to the GCF will also be shared with the Project Board. The UNDP Country Office will coordinate the input 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 A*DD DATE INDICATED IN PROJECT CALENDAR*. 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](http://web.undp.org/evaluation/guidance.shtml#gef). 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: The project’s final Annual Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

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

| **GCF M&E requirements** | **Primary responsibility** | **Indicative costs to be charged to the Project Budget[[11]](#footnote-11) (US$)** | | **Time frame** |
| --- | --- | --- | --- | --- |
| **GCF grant** | **Co-financing** |
| **Inception Workshop** | UNDP Country Office | USD 11,000 | *add* | 01 July 2018 |
| **Inception Report** | Project Manager | *add* | None | 15th July 2018 |
| **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 | *add* | Annually |
| **GCF 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 | 4,500 USD | *add* | Annually or other frequency as per UNDP Audit policies |
| **Lessons learned, case studies, and knowledge generation** | Project Manager | Personnel costs | *add* | Annually |
| **Monitoring of environmental and social risks, and corresponding management plans as relevant** | Project Manager  UNDP CO | Per year: USD *add* | *add* | On-going |
| **Project Board meetings** | Project Board  UNDP Country Office  Project Manager | Per year: USD *add* | *add* | At minimum annually |
| **Supervision missions** | UNDP Country Office | 8,000 USD**[[12]](#footnote-12)** | *add* | Two per year (as per agreed workplan) |
| **Oversight missions** | UNDP-GEF Unit | None12 | *add* | Troubleshooting as needed |
| **GCF learning missions/site visits** | UNDP Country Office and Project Manager and UNDP-GEF Unit | *add* | *add* | To be determined. |
| **Final independent evaluation and management response** | UNDP Country Office and Project team and UNDP-GEF Unit | 15,000 USD | *add* | 31 December 2019 |
| **Translation of evaluation reports into English** | UNDP Country Office | 1,000 USD | add | As required. GCF will only accept reports in English. |
| **TOTAL indicative COST**  Excluding project team staff time, and UNDP staff and travel expenses | | *39,500* | *add* |  |

# Governance and Management Arrangements

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 **Implementing Partner** for this project is *UNDP BPPS.* 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:

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

The project organisation structure- is as follows:

**Steering Committee:**

DDD, NDA-GCF, Ministry of Agriculture, Rural Development, Ministry of Budget, Ministry of Planning

**Project Assurance:**

UNDP (HQ, Regional Center Addis Ababa, Country Office)

**Project Management Unit**

UNDP recruited personnel at MEDD

**Advisory Partners**

Ministry of Agriculture, Fishery & Livestock, Ministry of Finance, Ministry of Budget, Ministry of Rural Development, Ministry of the National Economy, Ministry of Industry, Ministry of Land Management, Urban Planning and Construction, Ministry of Scientific and Technological Research, Ministry of Energy and Water Resources, Ministry of Public Health, Ministry of Infrastructure, National Environmental Information Center, National Institute of Statistics, METTELSAT, INER, World Bank, AFD, NAP-GSP

**PROJECT BOARD**

**NDA, DDD, UNDP**

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.

The **Project Management Unit** will carry out project implementation, with the support of a Financial and Administrative Assistant. The management arrangements for this project are summarized in the chart above.

**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. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.

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:

A **Steering Committee** comprising of NDA-GCF, DDD, Ministry of Agriculture, Rural Development, Ministry of Budget, Ministry of Planning, Ministry of Energy, Ministry of Transport, Ministry of Land Use Planning, and representatives of the provincial Governments of the Kwilu, Tshopo, Haut Katanga, Kinshasa and Kongo Central Provinces will be delegated to provide more regular and periodic guidance and implementation support to the Programme Management Unit. Representatives of related projects mentioned in this project, such as the GCF Readiness projects, the REDD+ support projects, NDC Partnership, GEF- World Bank will also be invited to the steering committee to foster synergies. UNDP will participate in sub-committee meetings in its oversight capacity as and when needed.

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 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 suppler.

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 Suppler 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 is: the Ministry of Environment and Sustainable Development (MEDD).

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.

**Project Manager**: The Project Manager 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** | 1. **Project start-up:**  * 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  1. **Project implementation:**  * Project Board: Coordinate/prepare/attend annual Project Board Meetings * Annual work plans: 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 * Prepare GCF/UNDP annual project report:  review input provided by Project Manager/team; provide specialized technical support and complete required sections * Portfolio Report (readiness): Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement. * Procurement plan: Monitor the implementation of the project procurement plan * Supervision missions: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions * Risk management and troubleshooting: 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) * Project budget: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies * Performance management of staff: where UNDP supervises or co-supervises project staff * Corporate level policy functions: 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. | 70% |
| **Oversight of project completion** | * 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** | * 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: *Describe how project target groups will be engaged in decision making for the project.*

**Advisory partners**: this group comprises primarily of an inter-governmental coordinating committee (based on CCA Economy Initiative, Technical Committee in charge of Monitoring reforms), departments at national level (Ministry of Agriculture, Fishery & Livestock, Ministry of Finance, Ministry of Budget, Ministry of Rural Development, Ministry of the National Economy, Ministry of Industry, Ministry of Land Management, Urban Planning and Construction, Ministry of Scientific and Technological Research, Ministry of Energy and Water Resources, Ministry of Public Health, Ministry of Infrastructure, National Environmental Information Center, National Institute of Statistics, METTELSAT, INERA), provincial governments, the community members from targeted regions, civil society and other national, regional and international NGOs. These partners contribute technical resources as and when solicited by the PB or the IP and collaborate closely with the Implementing Partner DDD.

The project will benefit from the wide experience of the NAP-GSP team in the different countries it supports, and particularly in African countries, and from its pools of experts (Climate Information and Science Experts, Climate Change/Environment Economists, Public Finance Specialists, Private Sector Experts, Climate Policy Specialists, etc.), which will provide technical assistance whenever requested.

**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 DDD working together with UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, Community Based Organization, civil society, 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, assumptions) 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 mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities. An indigenous people’s consultant will be recruited to ensure that their specific vulnerability is considered. A full-time gender advisor will be part of the project team and will contribute to gender mainstream throughout the project’s implementation

# Financial Planning and Management

*Annotated project document guidance: Complete this section and do not remove the standard text copied below*

The total cost of the project is *USD* 1,397,000*.* This is financed through a GCF grant of USD 1,397,000. 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.

Project Financing

|  |  |
| --- | --- |
| Output and sub outputs | Amount (USD) |
| Output 1.1 | 300,400 |
| Output 1.2 | 284,900 |
| TOTAL Output 1 | 585,300 |
| Output 2.1 | 182,900 |
| Output 2.2 | 166,400 |
| TOTAL Output 2 | 349,300 |
| Output 3.1 | 275,900 |
| TOTAL Output 3 | 275,900 |
| TOTAL Outputs (1+2+3) | 1,210,500 |

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.

UNDP-GEF is entitled to submit its first request for disbursement at any time for newly approved projects. Thereafter, UNDP-GEF will submit cash disbursement requests for six months (portfolio level) twice a year.

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.[[13]](#footnote-13) On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

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

Transfer or disposal of assets: In consultation with the Partners and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other 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 file[[14]](#footnote-14).

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.

# Total Budget and Work Plan

***Guidance to project developer****: This table must be completed using a separate excel file and then be copied here. All sub-totals and totals must tally. All figures must be “numeric value”, not “text”. The TBWP will look like the table below. Ensure all budget notes included in the excel file.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **GCF Readiness Outcome** | **GCF Readiness Sub-outcome** | **ATLAS Budget Description** | **Amount US$ (Semester 1, Month 1 - Month 6)** | **Amount US$ (Semester 2, Month 7 - Month 12)** | **Amount US$ (Semester 3, Month 13 - Month 18)** | **Total Amount US$** |
|
|
| **GCF Readiness Outcome 1: The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning** | Sub-Outcome 1.1: Identify institutional and legal barriers to climate change adaptation planning and enhance coordination through the establishment of the coordination mechanism for climate change adaptation planning | **Local consultants** | **38,000.00** | **20,000.00** | **-** | **58,000.00** |
| **International Consultants** | **-** | **15,000.00** | **-** | **15,000.00** |
| **Training, Workshops and Conferences** | **12,000.00** | **52,000.00** | **2,000.00** | **66,000.00** |
| **Contractual Services - Individ** | **75,400.00** | **-** | **-** | **75,400.00** |
| **Travel** | **5,000.00** | **5,000.00** | **10,000.00** | **20,000.00** |
| **Audio Visual&Print Prod Costs** | **3,000.00** | **3,000.00** | **2,000.00** | **8,000.00** |
| **Contractual Services - Companies** | **20,000.00** | **30,000.00** | **-** | **50,000.00** |
| **Information Technology Equipmt** | **3,000.00** | **1,000.00** | **1,000.00** | **5,000.00** |
| **Miscellaneous** | **1,000.00** | **1,000.00** | **1,000.00** | **3,000.00** |
| **Total Sub-Outcome 1.1** | | **157,400.00** | **127,000.00** | **16,000.00** | **300,400.00** |
| Sub-Outcome 1.2: Enhancing the technical capacity of relevant institutions and awareness among key stakeholders to advance adaptation planning | **Contractual Services - Individ** | **54,900.00** | **19,000.00** | **-** | **73,900.00** |
| **Contractual Services - Companies** | **24,000.00** | **18,000.00** | **6,000.00** | **48,000.00** |
| **International Consultants** | **-** | **15,000.00** | **-** | **15,000.00** |
| **Information Technology Equipmt** | **3,000.00** | **1,000.00** | **1,000.00** | **5,000.00** |
| **Audio Visual&Print Prod Costs** | **2,000.00** | **2,000.00** | **1,000.00** | **5,000.00** |
| **Training, Workshops and Conferences** | **10,000.00** | **70,000.00** | **20,000.00** | **100,000.00** |
| **Miscellaneous** | **1,000.00** | **1,000.00** | **1,000.00** | **3,000.00** |
| **Travel** | **5,000.00** | **25,000.00** | **5,000.00** | **35,000.00** |
| **Total Outcome 1.2** | | **99,900.00** | **151,000.00** | **34,000.00** | **284,900.00** |
| **TOTAL OUTCOME 1** |  | **257,300.00** | **278,000.00** | **50,000.00** | **585,300.00** |
| **GCF Readiness Outcome 2: CCA, development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces** | Sub-Outcome 2.1: the PSPA-CC and ensuring its alignment with international and national frameworks and best available climate and vulnerability information | **Contractual Services - Individ** | **-** | **73,900.00** | **-** | **73,900.00** |
| **International Consultants** | **-** | **10,000.00** | **-** | **10,000.00** |
| **Training, Workshops and Conferences** | **20,000.00** | **-** | **15,000.00** | **35,000.00** |
| **Travel** | **10,000.00** | **15,000.00** | **5,000.00** | **30,000.00** |
| **Audio Visual&Print Prod Costs** | **2,000.00** | **-** | **2,000.00** | **4,000.00** |
| **Local Consultants** | **-** | **-** | **27,000.00** | **27,000.00** |
| **Miscellaneous** | **1,000.00** | **1,000.00** | **1,000.00** | **3,000.00** |
| **Total Sub-Outcome 2.1** | | **33,000.00** | **99,900.00** | **50,000.00** | **182,900.00** |
| Sub-Outcome 2.2: Integrating adaptation priority interventions into the PNIA, the PNDS and the PDPs | **Local Consultants** | **-** | **21,000.00** | **20,000.00** | **41,000.00** |
| **International Consultants** | **-** | **10,000.00** | **-** | **10,000.00** |
| **Contractual Services - Individ** | **-** | **56,400.00** | **-** | **56,400.00** |
| **Training, Workshops and Conferences** | **12,000.00** | **12,000.00** | **12,000.00** | **36,000.00** |
| **Travel** | **5,000.00** | **10,000.00** | **5,000.00** | **20,000.00** |
| **Miscellaneous** | **1,000.00** | **1,000.00** | **1,000.00** | **3,000.00** |
| **Total Sub-outcome 2.2** | | **18,000.00** | **110,400.00** | **38,000.00** | **166,400.00** |
| **TOTAL OUTCOME 2** |  | **51,000.00** | **210,300.00** | **88,000.00** | **349,300.00** |
| **GCF Readiness Outcome 3: Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector** | Sub-Outcome 3.1: Identify, analyze and recommend policy options for scaling up financing for adaptation options included in the PSPA-CC, including through public-private partnerships | **Local Consultants** | **-** | **46,000.00** | **12,000.00** | **58,000.00** |
| **International Consultants** | **-** | **55,000.00** | **16,000.00** | **71,000.00** |
| **Travel** | **-** | **30,000.00** | **20,000.00** | **50,000.00** |
| **Training, Workshops and Conferences** | **-** | **25,000.00** | **10,000.00** | **35,000.00** |
| **Audio Visual&Print Prod Costs** | **-** | **2,000.00** | **2,000.00** | **4,000.00** |
| **Contractual Services - Individ** | **-** | **-** | **54,900.00** | **54,900.00** |
| **Miscellaneous** | **1,000.00** | **1,000.00** | **1,000.00** | **3,000.00** |
| **TOTAL OUTCOME 3** | | **1,000.00** | **159,000.00** | **115,900.00** | **275,900.00** |
| **TOTAL OPERATIONAL COSTS (OUTCOMES 1+2+3)** | | | **309,300.00** | **647,300.00** | **253,300.00** | **1,210,500.00** |
| **Project management costs** | | **Contractual Services - Individ** | **12,000.00** | **12,500.00** | **12,500.00** | **37,000.00** |
| **Information Technology Equipmt** | **3,000.00** | **1,000.00** | **1,000.00** | **5,000.00** |
| **Supplies** | **3,000.00** | **1,000.00** | **1,000.00** | **-** |
| **Travel** | **2,000.00** | **3,000.00** | **3,000.00** | **8,000.00** |
|  | | **Professional Services** | **1,500.00** | **1,500.00** | **1,500.00** | **4,500.00** |
| **Total Project management costs** | |  | **21,500.00** | **19,000.00** | **19,000.00** | **59,500.00** |
| **TOTAL PROJECT COSTS EXCLUDING DP FEE** | |  | **330,800.00** | **666,300.00** | **272,900.00** | **1,270,000.00** |
| **DP fee (10%)** | |  | **33,080.00** | **66,630.00** | **27,290.00** | **127,000.00** |
| **TOTAL PROJECT COSTS INCLUDING DP FEE** | |  | **347,380.00** | **718,080.00** | **331,540.00** | **1,397,000.00** |

# Legal Context

*Annotated project document: Select one of the following options as applicable. Delete all other options from the document. The last two paragraphs are mandatory for all project documents.*

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Democratic Republic of the Congo and UNDP, signed on 27 May 1976. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP (“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.

# 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 1,270,000.00[[15]](#footnote-15) [UNDP funds received pursuant to the Project Document][[16]](#footnote-16) 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:

* 1. 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:
     1. 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;
     2. 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.
  2. 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.
  3. 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.
  4. 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.
  5. 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.
  6. 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.

* 1. 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.

* 1. 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.
  2. 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.
  3. 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.

# 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.

1. GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP
2. GCF approval letter
3. Timetable of project implementation (GANTT chart)
4. Procurement Plan
5. Terms of References for Project Board and Project Team/PMU
6. UNDP Risk Log
7. UNDP Project Quality Assurance Report

# Annex A: GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP

Attached in the email.

# Annex B: GCF approval letter

Attached in the email.

# Annex C: Timetable of project implementation (GANTT chart)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Semester 1** | | | **Semester 2** | | | | **Semester 4** | | | | **Semester 4** | | | | **Semester 5** | | | | **Semester 6** | | | |
| **M1** | **M2** | **M3** | | **M4** | **M5** | **M6** | | **M7** | **M8** | **M9** | | **M10** | **M11** | **M12** | | **M13** | **M14** | **M15** | | **M16** | **M17** | **M18** |
| **Outcome 1: The 2016-2020 PSPA-CC implementation is facilitated through the reinforcement of the legal and institutional framework and capacity building for climate change adaptation planning.** | | | | | | | | | | | | | | | | | | | | | | | |
| ***Sub-Outcome 1.1: Identify institutional and legal barriers to climate change adaptation planning and enhance coordination through the establishment of the coordination mechanism for climate change adaptation planning*** | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 1.1.1 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 1.1.2 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 1.1.3 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| ***Sub-Outcome 1.2: Enhancing the technical capacity of relevant institutions, and awareness among key stakeholders to advance adaptation planning*** | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 1.2.1 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 1.2.2 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 1.2.3 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| **Outcome 2: CCA and development priorities are aligned and reflected in the PNSD, the PNIA and the PDPs of priority provinces** | | | | | | | | | | | | | | | | | | | | | | | |
| ***Sub-Outcome 2.1: Reviewing the PSPA-CC and ensuring its alignment with international and national frameworks and best available information*** | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 2.1.1 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 2.1.2 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| ***Sub-Outcome 2.2: Integrating adaptation priority interventions into the PNIA, the PNDS and the PDPs*** | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 2.2.1 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 2.2.2 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 2.2.3 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| **Outcome 3: Financing options for adaptation investments in agriculture and rural development, biodiversity, coastal areas, health, land use planning and energy are identified with the support of the private sector** | | | | | | | | | | | | | | | | | | | | | | | |
| ***Sub-outcome 3.1: Identify, analyze and recommend policy options for scaling up financing for adaptation options included in the PSPA-CC, including through public-private partnerships*** | | | | | | | | | | | | | | | | | | | | | | | |
| Activity 3.1.1 |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |
| Activity 3.1.2: |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |  |  |  |

# Annex D: Procurement Plan

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Procurement Plan** | | | | | | |
| *For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below. Also, please feel free to replicate this table on Excel spreadsheet if needed.* | | | | | | |
| **ITEM** | **ITEM DESCRIPTION** | **ESTIMATED COST** (US $) | **PROCUREMENT METHOD** | **THRESHOLDS** *(Min-Max monetary value for which indicated procurement method must be used)* | **ESTIMATED START DATE** | **PROJECTED CONTRACTING DATE** |
| **Goods and Non-Consulting Services** | | | | | | | |
| Service Contract | Gender Policy Expert | 38,000.00 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Service Contract | 1 Knowledge Management / Communications Expert | 48,000.00 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Service Contract | Climate Change Policy Expert/Project Manager | 55,000.00 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Service Contract | M&E Expert | 38,000.00 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Service Contract | Climate Science Expert | 54,000.00 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Service Contract | Admin and Finance assistant | 25,000.00 | Test, interview – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| CS Company | 1 National Contractual Company for capacity assessment and training. | 48,000.00 | Local Advertisement |  | QTR2-YR1 | QTR2-YR1 |
| IT Equipment | Various IT Equipment (Laptops, printer, etc.) | 15,000.00 | Desk Review – Competitive Sourcing |  | QTR1, 2, 3-YR1 | QTR1, 2, 3-YR1 |
| Audio Visual & Print Prod Costs | Various Printing Material | 21,000.00 | Desk Review – Competitive Sourcing |  | QTR1, 2, 3-YR1 | QTR1, 2, 3-YR1 |
| Office Supplies | Office Supplies | 5,000.00 | Desk Review – Competitive Sourcing |  | QTR1, 2, 3-YR1 | QTR1, 2, 3-YR1 |
| 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 $) | | **351,500.00** |  | | | |
| **Consultancy Services** | | | | | | |
| Local Consultant | 2 local experts on climate change policy | 20,000.00 | Desk Review – Competitive Sourcing |  | QTR2-YR1 | QTR2-YR1 |
| Local Consultant | 1 local webmaster | 38,000.00 | Test, interview – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| Local consultant | 1 local consultant for PSPA-CC review and proposal development | 18,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 indigenous people expert for PSPA-CC review and proposal development | 9,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 local consultant with agricultural expertise | 20,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 local consultant with climate change policy expertise for PNIA & MRV | 15,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 indigenous people expert | 6,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 economist | 16,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 agriculture or coastal management expert | 12,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 local vulnerability expert | 12,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| Local consultant | 1 local climate finance expert | 12,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 international consultant for policy support | 15,000.00 | Desk Review – Competitive Sourcing |  | QTR2-YR1 | QTR2-YR1 |
| International consultant | 3 international consultants for trainings | 15,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 international expert on NAP | 10,000.0 | Desk Review – Competitive Sourcing |  | QTR1-YR1 | QTR1-YR1 |
| International consultant | 1 social and environment safeguards specialist | 7,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 climate science expert | 18,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 project developer | 24,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 economist | 12,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| International consultant | 1 gender expert | 10,000.00 | Desk Review – Competitive Sourcing |  | QTR3-YR1 | QTR3-YR1 |
| SUB-TOTAL (US $) | | **289,000.00** |  | | | |
| TOTAL COST (US $) | | ***640,500.00*** | | | | |

# Annex E: Terms of References for Project Board and Project Team

1. **ADMINISTRATIVE ASSISTANT (as part of the PMU); Service Contract @ USD 25,000/year.**

For assistance in day-to-day operations of the project, as related to missions, organizations of workshops and meetings. Responsibilities include (but is not limited to):

* Provide logistical support to the team and ICs in organizing training events, workshops and global meetings.
* Assist international, short-term consultants by organizing their travel schedules, arranging meetings with different stakeholders and booking hotel accommodations.
* Draft necessary correspondence with local and international agencies and stakeholders.
* Assist in the timely issuance of contracts and assurance of other eligible entitlements of the project personnel, experts, and consultants by preparing annual recruitment plans.
* Provide other substantive support to the team for overall implementation.

1. **FINANCE ASSISTANT (as part of the PMU); Service Contract @ USD 25,000/year.**

For assistance in day-to-day operations of the project, as related to financial support and budgets. Responsibilities include (but is not limited to):

* Provide logistical support to the team and ICs in organizing training events, workshops and global meetings.
* Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenses.
* Prepare financial status reports, progress reports, and others
* Process payment requests for settlement purpose, including quarterly advances to the partners.
* Prepare financial reports and documents as per specified formats, project, programme plans and general reference documents and general administrative/financial or specialized tasks related to the project which may be of a confidential nature within the assigned area of responsibility.
* Assist in the timely issuance of contracts and assurance of other eligible entitlements of the project personnel, experts, and consultants by preparing annual recruitment plans.
* Provide other substantive support to the team for overall implementation.

1. **Gender Policy Expert (SB4) @ USD 38,000/year.**

Responsibilities include (but is not limited to):

* Support the identification of barriers to CCA planning through a gender lens, along with the consultants and the climate change policy expert
* Contribute to development of gender components to the capacity assessments, training programmes, and outreach efforts for the technical element
* Hold consultations with women’s organizations and NGOs and prepare considerations to be included in the re-vamped PSPA-CC.
* Prepare a gender analysis of the climate change and development nexus for the 4 priority sectors
* Support the policy experts in developing gender indicators for the PNSD monitoring and evaluation mechanism

1. **Knowledge Management or Communications; Service Contract @ USD 38,000/year.**

For support the project team in all activities involving creation of communication and advocacy materials, including annual reports, websites, to support the project, photo and video documentation. Role will include (but is not limited to):

* Design inception workshop information and booklets.
* Work with the project team and country teams to collect best practices and lessons learned related to the NAP process, disseminate through appropriate channels (not exclusive to the NAP GSP platform)
* Support creation of a communication plan for the PSPA-CC which will target civil society organizations and the private sector at national level and in the 5 priority provinces of DR Congo.
* Support development of outreach activities such as flyers on climate change impacts, trainings for community radios etc.
* Identify case studies demonstrating the link between building adaptation capacity and reducing vulnerability (i.e. reflecting the overall NAP objectives); develop print, web-based and video products detailing case studies.
* Be responsible for documenting training, meetings, and outreach sessions through video and photo, provide summaries, and develop web based and print products detailing meetings.
* Provide graphic design and type-setting assistance for printed products such as project document, flyers, posters, policy briefs, and annual reports.
* Work with communications staff at the regional hub to draft and publish content for the Adaptation website.
* Maintain social media updates on the project in conjunction with the CO Communications staff.

1. **Climate Change Policy Expert (SB5) to act as project manager @ $55,000/y**

Responsibilities include (but is not limited to):

* Overall management of the project implementation, team and tracking of timeline and budget.
* Prepare review of institutional framework for climate change adaptation planning, budgeting and integration into national, sectoral and provincial processes, building on the 2016-2020 National Climate Change Policy and Strategy and Action Plan (PSPA-CC) and the GCF national coordination
* Conduct consultations with the Parliament’s environment committee
* Support the drafting of climate change law/decree is available and submitted to the Parliament’s Environmental Committee
* Support the set up a national coordination mechanism for climate change adaptation planning, under a national committee for the planning and monitoring of the PSPA-CC, led by the Ministry of Environment and Sustainable Development (MEDD), by identifying focal points for CCA in key ministries (especially Ministries of Planning, Budget, Finances, Environment, Decentralization, Agriculture, Rural Development, Land use Planning), research institutions (INERA, METTELSAT, Universities, etc.), private sector, NGOs, local communities, and technical & financial partners.
* In consultation with climate change science expert, prepare a capacity assessment and training on CCA planning is undertaken in up to 10 institutions
* Contribute to the development of Sensitization sessions on climate change towards the technical reforms monitoring committee of the Min. of Finance, Min. of Budget, the Ministry of Planning, the SDG Observatory, and relevant Parliamentary committees and other key development planning and budgeting stakeholders
* Prepare guidelines on provincial – level CC integration.
* Provide technical support to consultants preparing funding proposals for GCF

1. **Monitoring & Evaluation Expert (SB4) @ $38,000/y**

(split across 1.2, 2.2)

Responsibilities include (but is not limited to):

* Supporting the Integration of CCA into the PNSD monitoring and evaluation mechanism
* Developing CCA-relevant indicators, projected results, and impact indicators
* Supporting the M&E of project implementation as per GCF standards and expectations
* Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
* Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.
* Review how the project addresses country priorities
* Review decision-making processes
* Review the logframe indicators against progress made towards the end-of-project targets

1. **Climate Science Expert; SB5 @ USD 54,000/year.**

To be hired to assist in the training of technical staff and public service officers supporting CCA activities in different and relevant ministries, and other institutions, local governments, hydro-met, etc. Responsibilities will include (but are not limited to):

* Stock taking of existing initiatives and policies to determine entry points and gaps for integrating CCA, and capacity assessment of CCA planning in different institutions (i.e. the PSPA-CC).
* Facilitate the organization of NAP orientation sessions bringing together UNFCCC, focal points, ministries and representatives of different sectors.
* Provide technical support to consultants preparing funding proposals for GCF
* Support consultants in the development of training program for national institute in 4 priority areas
* Support the understanding and applicability of climate tools in understanding risks, and prioritizing them in policies and activities for all staff.
* Support the organization of national consultative dialogues to validate roadmap, involving ministries of agriculture, planning and finance, the environment, as well as CSOs, community based organizations.
* Support the high-level national consultation workshops with the PSPA-CC and government representatives, and NDC Partnership project.
* Contribute to the report on the NAP progress which is submitted to UNFCCC.
* Support the gender expert, the economist and other consultants on pre-feasibility studies for the following GCF proposal through valuable inputs
* Support the preparation of the GCF Concept Note

# Annex F: UNDP Risk Log

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **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 | Clear commitment will be obtained from across government agencies to contribute to data collection and dissemination of data | Political and organisational | P=3 |
| Delay in the completion of the outputs | I=5 |
| 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: | Financial |  |
|          awareness raising among decision-makers; | P=2 |
|          securing Ministry of finance as a key government partner; | I=5 |
|          outreach to potential donors and private sector investors; |  |
| 3 | Conflicts among stakeholders as regards roles in the project. | Uncoordinated approach to tackling climate change | Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles. | Political and organisational | P=2 |
| Threat to successful project implementation. |          a timeline will be developed for the DRC NAP process and updates communicated to stakeholders; | I=3 |
|  |          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 | Awareness-raising among the key decision-makers. | Political and strategic | P=2 |
| Develop leadership/ champions for change. |  |
|          The stakeholder involvement plan, which will be developed, will set out measures to maintain support at the highest-level; and support will be given to the Government of DRC to organise consultations on project progress at key stages in order to maintain government ownership and interest in the project. Collaboration with other cooperation projects will also help to maintain political visibility at country-level. | I=4 |
| 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. |  |
| Collaboration with other cooperation projects which will help to maintain political visibility. |  |
| 5 | Poor coordination. | Leading to delays in deliverables |          Clear Project Management arrangements finalized in the inception phase, including a comprehensive budget and work plan with clear roles, responsibilities, tasks and timeframes for implementation. | Political | P=3 |
| I=3 |
| 6 | 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=2 |
| 7 | Excluding any potentially affected stakeholders from fully participating in decisions that may affect them |  |          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 = 2 |
|  |          Management processes (e.g. budgets and work plans) will be adjusted should country circumstances prevent any affected stakeholder groups from engaging in the process. | I = 2 |

# Annex G: 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** | | | | | | | | |
| * **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):**  * **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.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document  Section III | |
| 1. **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:** The project responds to one of the three areas of development work[[17]](#footnote-17) as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas[[18]](#footnote-18); an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. *(all must be true to select this option)* * **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. *(both must be true to select this option)* * **1:** While the project may respond to one of the three areas of development work1 as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Section III | |
| **Relevant** |  | | | | | | | |
| 1. **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:** 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) *(all must be true to select this option)* * **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. *(both must be true to select this option)* * **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. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Sections III and IV | |
| 1. **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:** 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 | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Section IV | |
| 1. **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:** A participatory 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. *(all must be true to select this option)* * **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. *(all must be true to select this option)* * **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.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Section IV | |
| 1. **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):**  * **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. *(all must be true to select this option)* * **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.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | | | **3** | 2 |
| 1 | |
| **3**  **Evidence**  Project Document Section II and IV | |
| **Social & Environmental Standards** | | | | | | | | |
| 1. **Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):**  * **3:** Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget.*(all must be true to select this option)* * **2:** Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. * **1:** No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.   \*Note: Management action or strong management justification must be given for a score of 1 | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Section III | |
| **8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):**   * **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option)*. * **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. * **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.   \*Note: Management action or strong management justification must be given for a score of 1 | | | | | | | **3** | 2 |
| 1 | |
| **3**  **Evidence**  Project Document Section VI | |
| **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.] | | | | | | | Yes | **No** |
| Does not apply to GCF Readiness NAP projects | |
| **Management & Monitoring** | | | | | | | | |
| 1. **Does the project have a strong results framework?** **(select from options 1-3 that best reflects this project):**  * **3:** The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. *(all must be true to select this option)* * **2:** The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. *(all must be true to select this option)* * **1:** The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence** Project Document Section VI | |
| **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. *(all must be true to select this option)*. * **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. *(all must be true to select this option)* * **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 | |
| **3**  **Evidence**  Project Document Sections V and VIII | |
| **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. *(both must be true to select this option)* * **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 | |
| **2**  **Evidence**  Project Document Section IV and Annex E | |
| **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?**   * **3:** The project’s budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. * **2:** The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. * **1:** The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Sections IX and X | |
| 1. **Is the Country Office fully recovering the costs involved with project implementation?**  * **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.   \*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. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Sections IX and X | |
| **Effective** |  | | | | | | | |
| **18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):**   * **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. *(both must be true to select this option)* * **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.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | | | **3** | 2 |
| 1 | |
| **3**  **Evidence**  Readiness Framework Grant Agreement between UNDP and Donor (GCF) + No implementing partner | |
| **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?**   * 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 |
| 1 | |
| **3**  **Evidence**  Project Document Sections III and IV | |
| **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**  Project Document Section IV | |
| **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):**   * **3:** The project has a realistic work plan & budget covering the duration of the project *at the activity* level to ensure outputs are delivered on time and within the allotted resources. * **2:** The project has a work plan & budget covering the duration of the project at the output level. * **1:** The project does not yet have a work plan & budget covering the duration of the project. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Section X | |
| **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):**   * **3:** National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. * **2:** The project has been developed by UNDP in close consultation with national partners. * **1:** The project has been developed by UNDP with limited or no engagement with national partners. | | | | | | | 3 | **2** |
| 1 | |
| **2**  **Evidence**  Project Document Sections III and IV | |
| **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):**   * **3:** The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. * **2.5:** A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. * **2:** A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. * **1.5:** There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. * **1:** Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. | | | | | | | 3 | **2.5** |
| 2 | 1.5 |
| 1 | |
| **2.5**  **Evidence** Project Document Section IV | |
| **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) |

1. UNDP, 2016, *Plan National d’Adaptation: Etat des lieux du processus du Plan National d’Adaptation aux changements climatiques en République Démocratique du Congo* [↑](#footnote-ref-1)
2. World Bank - GEF. Strengthening Hydro-Meteorological and Climate Services. https://www.thegef.org/sites/default/files/project\_documents/ID5451\_Council\_Letter\_1\_0.pdf [↑](#footnote-ref-2)
3. World Bank – GEF [↑](#footnote-ref-3)
4. Government of DR Congo, 2016, “Politique, stratégie et plan d’action en matière de changements climatiques de la République Démocratique du Congo“. [↑](#footnote-ref-4)
5. The “Institut National pour l'Etude et la Recherche Agronomiques” or the National Institute for Agronomic Research and Study (INERA), is a prestigious and recognized national research institution based in DRC. [↑](#footnote-ref-5)
6. These resulted in the creation of the 2016 Stocktaking Report and the NAP Roadmap, in the annex [↑](#footnote-ref-6)
7. See http://www.undp.org/content/undp/en/home/operations/transparency/information\_disclosurepolicy/ [↑](#footnote-ref-7)
8. See http://www.undp.org/content/undp/en/home/operations/transparency/information\_disclosurepolicy/ [↑](#footnote-ref-8)
9. 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 [↑](#footnote-ref-9)
10. See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx> [↑](#footnote-ref-10)
11. Excluding project team staff time and UNDP staff time and travel expenses. [↑](#footnote-ref-11)
12. The costs of UNDP Country Office and UNDP-GEF Unit’s participation and time are charged to the GCF Agency Fee. [↑](#footnote-ref-12)
13. see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx> [↑](#footnote-ref-13)
14. See <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default>. [↑](#footnote-ref-14)
15. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-15)
16. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-16)
17. 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building [↑](#footnote-ref-17)
18. 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 [↑](#footnote-ref-18)