



REQUEST FOR PROJECT PREPARATION GRANT (PPG)
PROJECT TYPE: Medium-sized Project
THE LEAST DEVELOPED COUNTRIES FUND FOR CLIMATE CHANGE (LDCF)¹

Submission date: November 7, 2011

GEFSEC PROJECT ID²: 4585

GEF AGENCY PROJECT ID: 4566

COUNTRY (IES): Samoa

PROJECT TITLE: Enhancing resilience of communities reliant on tourism sector to climate change and disaster risks

GEF AGENCY (IES): UNDP

OTHER EXECUTING PARTNER(S): Samoa Tourism Authority, Ministry of Natural Resources & Environment (MNRE)

GEF FOCAL AREA: Climate Change

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	November 2011
Completion date of PPG	November 2012

B. PAST PROJECT PREPARATION ACTIVITIES (\$)

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Activities undertaken in the preparatory phase of this project include the collection of baseline information, identifying and filling key gaps in information to strengthen the design of the project, gathering key data/information for the design of the approved outcomes and outputs, identifying and confirming the lead implementing partner and implementation arrangements for each component, developing indicators for monitoring and evaluation both at the outcome and output levels and identifying and securing partnerships and other sources of financing and co-financing. The PPG grant would finance the costs for national and international consultants who will provide, under the guidance of UNDP-GEF, technical input towards the project design as described in detail below.

COMPONENT 1: Technical Definition and Capacity Needs Assessment

1. Project formulation will be based on step-by-step guidance in UNDP's Adaptation Policy Framework's Document and UNDP's internal guidelines for developing adaptation projects. The project design will follow the *adaptive capacity approach* in terms of formulating specific outcomes,

¹ This template is for the use of LDCF Adaptation projects only.

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

outputs and activities.

(a) Definition of a project baseline

2. The project baseline will be drawn up based on a detailed analysis of the Samoa's Climate Risk Profile, and its implications to the tourism sector in the country. This analysis will take stock of the current state of national resilience to existing climate variability and projected climate change impacts, including accelerated sea level rise. The baseline analysis will provide details about current and planned development initiatives in the tourism sector and its development areas and outline climate-related challenges and opportunities that need to be addressed in order to make the tourism sector and communities reliant on it for their livelihoods truly resilient. A full and clear description of the baseline situation with respect to the project outcomes, specific climate change driven vulnerabilities and ongoing projects/programmes (potential sources of co-financing) that this project will build on will be detailed in the context of capacities in the tourism sector, tourism operations and facilities, village communities, early warning systems and ecosystems management in tourism areas. Where necessary expertise from other regional and international organizations with specific specialized mandates (e.g. SPREP, SPC, SOPAC, USP, SPTO, UNEP, UNESCO, UNWTO) will be consulted. An analysis of interventions needed in each of the sectors to increase adaptive capacity and the LDCF specific assistance required in the context of the project specific outcomes will also be elaborated.

3. The baseline analysis will include a review of ongoing development projects and produce an inventory of policies, regulations and laws that govern climate-related resilience issues. It will further produce an inventory of systemic and institutional capacities that operate various aspects of the tourism sector including those found at the community level. This review will focus on the strengths of existing decision making and tourism sector planning systems. The information collected in this exercise will contribute to a detailed root-cause analysis of climatic and non-climatic drivers that exacerbate tourism vulnerability in times of growing uncertainty and environmental change. This analysis will be the basis for the definition of tangible research and demonstration activities proposed under the full-sized project.

(b) Identification of current and projected climate change risks in the tourism sector and tourism areas

4. PPG resources will be used to undertake a detailed climate change risk analysis of tourism sector and selected Tourism Development Areas and their tourism operations run by local communities. Building on ongoing NAPA implementation projects (in agriculture, health, forestry and coastal management), SNC and NAPA findings of climate change impacts, resources will only be used to target additional analysis identifying the likely biophysical impacts, where they are likely to occur, on what scale, the timing of expected changes, and the socio-economic implications of the anticipated changes. The analysis will reflect the available range of climate and socio-economic scenarios of the tourism sector and define knowledge gaps that need to be addressed in the full-sized project.

5. PPG resources will be used to undertake a review of vulnerabilities of tourism sector at different development intervention levels in order to guide the formulation of project interventions. In particular, resources will be used for the following:

- To outline a technically sound description of how climate change is projected to affect the management of tourism resources at the village community levels and national tourism management in its current setup (i.e. without additional risk mitigation measures). This analysis will be based on existing climate change scenarios for Samoa and its region.
- PPG resources will be used to estimate the likely costs and benefits of proposed project

adaptation interventions (including probability of success). Associated with this, a detailed description of expected project implications on existing institutional/policy/legislative frameworks related to the tourism sector and tourism-reliant communities will be made. This includes a review of relevant laws, regulations, responsibilities, and financing provisions that have a bearing on a conducive structural environment for climate change adaptation in Samoa.

6. Stakeholder consultations and validation with relevant governmental and non-governmental agencies, as well as other bilateral donors, will supplement the findings of the climate change risk review and inform the technical feasibility and needs assessment for the proposed project. PPG funds will not be used to duplicate work already completed by other NAPA follow up implementation projects.

(c) Identification of specific sites for intervention

7. Further to the initial considerations on Tourism Development Areas dominated by community operators, and based on information in (a) and (b), along with clearly defined criteria for prioritization, a selection will be made of specific pilot sites and village communities that this project will focus on. A thorough assessment of the location specific risks that this project will need to overcome will be clarified and inform the overall design of the project. A participatory stakeholder approach to site and village community selection and definition of development intervention needs (involving relevant local institutions, the private sector, research organisations and representatives of civil society) will be employed and outlined in the UNDP-GEF Project Document. The financial scope of the FSP will be aligned with the project's potential for wider regional impact and maximum replication of adaptation benefits beyond the proposed FSP.

(d) Clarifying additionality of proposed Outcomes and interventions

8. The additionality of the proposed project, relative to baseline development needs, will be clarified in the context of the proposed Outcomes as outlined in the PIF. LDC resources will be directed towards the additional cost of ensuring that baseline activities coming out of (a) above incorporate climate change concerns and that these are addressed. Towards this end, a detailed assessment including stakeholder consultations will be undertaken to assess the current and existing range of resilience-enhancing and/or mal-adaptive activities. The additionality of the proposed interventions will also be established through a review that will assess and clarify a) where additional climate-proofing components are required to increase the resilience of activities proposed and b) which of the project components and activities have the greatest potential for technical enhancement and modification to effectively provide added value in increasing resilience to climate risks.

9. This review will include an inventory of who is doing what, at which scale and on which island. This information will ensure that the design of the full-size project document links to other, planned and ongoing activities. The inventory will contribute to explicitly describing specific urgent and immediate adaptation actions that require additional responses to account for climate change-induced risks. It will also inform key activities in alignment with UNDP's core competencies and comparative advantage.

10. The review and stakeholder consultations will also facilitate discussions with other local and international institutions pursuing similar objectives/outcomes and identify important partnerships including co-financing opportunities. It will also facilitate discussions with other agencies such as the World Bank, UNEP, UNWTO, UNESCO, CROP agencies and others on potential partnerships whereby the comparative advantage of these agencies can be brought to bear on the design and implementation of this project.

(e) Integration with development plans, policies and complementary projects

11. The project will integrate climate change concerns into relevant national development plans and policies and also be aligned with core UNDP activities in Samoa. In order to identify linkages of climate change concerns into national development plans and policies, a review of relevant national development policies will be undertaken. Useful documents in this regard are (i) Poverty Reduction Strategy Paper (*PRSP*); (ii) National Millennium Development Goal Report (National MDG Report) and (iii) *UN Common Country Assessment (CCA)*. A review of the UN/UNDP programming documents such as the *United Nation Development Assistance Framework (UNDAF)* and *UNDP Country Programme Document (CPD)* or *Common Country Framework (CCF)* will also be undertaken in order to ensure that the project is anchored on relevant ongoing UN development programmes/projects.

COMPONENT 2: Institutional arrangements, Monitoring and Evaluation

12. The outputs of Component 1 will be used as technical input for the formulation of a Project Document. Technical assistance will be required by national and international consultants who are experienced in (i) GEF project formulation; (ii) UNDP project implementation requirements; (iii) technically competent in climate change impacts and adaptation options on the tourism sector; and (iv) familiar with the institutional setting and arrangements in Samoa.

(a) Defining the Strategic Result Framework (SRF), M&E indicators and work plan for the project

13. PPG resources will be utilized to outline a detailed SRF with elaboration of the project goal, objective, outcomes, outputs and activities, objective and outcome specific impact indicators and a fully developed work plan and time frame for implementation. A meeting of key sector stakeholders will be convened to prepare SRF for this proposed project. UNDP's guidance on M&E frameworks for adaptation projects will be applied and amended as appropriate noting in particular the attention that will be paid to this issue at CEO endorsement.

(b) Definition of project roles and responsibilities

14. A detailed delivery strategy, with clearly identified roles and responsibilities of specific institutions for the overall management of the project will be specified. An in-depth analysis will be undertaken of the capacity of the Samoa Tourism Authority and other appropriate local institutions that could collaborate in the implementation of the full size project. Details on oversight of technical activities including requisite reporting procedures will be established. UNDP guidelines as articulated in the Results Based Management Framework will be followed in formulating these details.

(c) Definition of a Monitoring and Evaluation Plan

15. A detailed M&E work-plan and delivery strategy will be defined to include clear identification of responsibilities and institutions, as well as a benchmarked budget allocation. This will also capture the requirements of the Implementing Agency vis-à-vis its standard reporting and evaluation mechanisms. The Monitoring Plan will include qualitative and quantitative indicators that will measure the state of adaptive capacity at various stages of project implementation. The M&E plan will include provisions for independent evaluation and provision to ensure learning of lessons from implementation.

(d) Identification of quantitative and qualitative indicators

16. Using a fully participatory stakeholder approach, (with the guidance UNDP's M&E indicators for

adaptation projects) the indicators for measuring and verifying the successful delivery of the project objective and outcomes will be defined. Specific emphasis will be given to those indicators that will ensure policy, legislative and management realignment; capacity building and training; and stakeholder participation and partnership.

(e) Exit Strategy (Sustainability)

17. A detailed sustainability strategy will be defined in order to ensure that continuation of the outcomes promoted through this project, including replication, upon after completion of the project cycle.

COMPONENT 3: Stakeholder Consultations

18. PPG resources will be utilized to engage key stakeholders at all development intervention levels during the project design phase. In alignment with the approved project objective, comprehensive stakeholder analysis will be conducted to determine stakeholder needs vis-à-vis adaptation to potential climate change impacts, barriers to adaptation, expertise that might be helpful in designing the implementation of the project, and those who may have been involved in similar initiatives or planning processes:

- A Stakeholder Participation Plan will be developed. This will include a categorized list of the stakeholders to the FSP Implementation Project (by sector and interest);
- A list of appropriate stakeholder involvement in each Outcome and Output of the proposed full FSP implementation project;
- A work-plan/timetable and associated budget for stakeholder participation;
- A monitoring and evaluation mechanism for ensuring effective stakeholder participation and for capturing stakeholder feedback to the project implementation process. Key national agencies, NGOs, international technical cooperation bodies, and local communities, will be consulted to establish an effective framework for the proposed project; and
- A plan for project management during the implementation phase of the FSP will be discussed and finalized during the preparatory phase.

COMPONENT 4: Financial planning and co-financing definition

(a) Negotiate with Government Counterpart

19. Negotiate with the government to ensure full agreement with the Project Objective, Outcomes, Outputs including partnerships for support and co-funding.

(b) Explore Multilateral and Bilateral funding opportunities

20. Develop partnerships and co-funding opportunities at various levels with bilateral and multi-lateral funding institutions as well as networking at the global level.

(c) Obtain official endorsement letters and guarantees

21. Official endorsement letter with guarantee of co-financing will be collected from the Government and donors and submitted to the UNDP-GEF.

D. Outputs from Preparation Activities

22. The final product of the proposed PPG phase will be a UNDP-GEF compliant, full-sized Project Document for submission to the LDCF. The document will cover the following in detail:

- Summary of the relevant baseline development plans and investment programmes of the public, private and NGO sector in Samoa focusing on relevant activities as they pertain to climate change risk management in the sectors of intervention through the proposed UNDP-GEF intervention;
- Review and summary of the existing policy and regulatory frameworks;
- Review, analysis and summary of the past project related activities of other donors and private sector on adaptation in Samoa and an updated report on the co-operation and co-financing possibilities in the framework of the envisaged UNDP-GEF project;
- Supporting reports prepared by technical experts to justify the proposed project interventions and to leverage financing for the proposed activities (this may include pre-feasibility studies for pilots, draft business plans etc.);
- A Strategic Result Framework that captures UNDP endorsed indicators and verification strategies;
- M&E framework for the project that will measure improvement in adaptive capacity to climate change including variability. This includes a list of proposed indicators and an associated monitoring and evaluation plan with a clear definition of how these indicators would be measured and how verification data would be collected through the monitoring programme;
- A work plan with detailed roles and responsibilities for implementation;
- A stakeholder participation plan, with a clear focus on community involvement;
- Endorsement letters from the government and letters confirming co-financing commitments;
- Project Document as per GEF and UNDP requirements including completed UNDP checklist for preparing adaptation projects;
- Lessons Learned from the preparatory phase; and
- Other reports from all project relevant stakeholder consultations

Project Preparation Activities:

	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
1. Technical Definition and Capacity Needs Assessment	Assessment and review reports on cc and tourism in Samoa	20,000	18,250	38,250
2. Institutional Arrangements, Monitoring & Evaluation	Logical Framework and work plans, monitoring and evaluation plans, M&E and work plans	20,000	20,000	40,000
3. Stakeholder Consultations	Stakeholder participation plan, LOEs and workshop reports and assessments	5,000	5,000	10,000
4. Financial Planning and co-financing definition`	Official endorsement letter and guarantees	5,000	0	5,000
5. PPG Management Budget Costs*	Project Document and Executive Summary	0	6,750	6,750
Total Project Preparation Financing		50,000	50,000	100,000

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

	Project Preparation	Agency Fee
GEF financing	50,000	5,000
Co-financing	50,000	
Total	100,000	5,000

E. FOR MULTI AGENCIES/COUNTRIES

GEF Agency	Country Name/ Global	(in \$)		
		PPG (a)	Agency Fee (b)	Total c = a + b
(select)				
(select)				
(select)				
(select)				
(select)				
(select)				
Total PPG Requested		0	0	0

F. PPG BUDGET REQUESTING LDCF FINANCING


Cost Items	Total Estimated Person weeks (pw)**	LDCF	Co-financing (\$)	Total (\$)
Local consultant * 1	30		12,000	12,000
International consultant* 1	10	25,000	0,000	25,000
Technical Workshop		10,000	10,000	20,000
Communication, reports and travel		15,000	8,000	23,000
Project Management			20,000	20,000
Total PPG Budget		50,000	50,000	100,000

* A separate Annex A for Consultant cost details should be included in this PPG Request.

** Person weeks here refers to the weeks that are to be charged to the LDCF grant. One can also provide person months, if this is more applicable to the project. For co-financing, provide only the dollar amount.

G. GEF AGENCY (IES) CERTIFICATION

This request has been prepared in accordance with LDCF policies and procedures and meets the LDCF criteria for project preparation.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec, Executive Coordinator, UNDP/GEF		September 28, 2011	Gabor Vereczi, Regional Technical Advisor – Climate Change Adaptation, (Gr-LECRDS) UNDP	+685 23670	gabor.vereczi@undp. org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position Titles	\$/ person week	Estimated PWs	Tasks to be performed
National			
National Project Coordinator	400	30	<ul style="list-style-type: none"> - Outline a detailed problem analysis (root-causes, barriers); - Undertake a stakeholder analysis, promote stakeholder participation, coordinate national consultation processes, negotiations and consultations with potential partners; - Help coordinate all PPG activities and ensure the quality of outputs; - Contribute to and support baseline analyses and project definition activities; - Organize and facilitate a series of technical workshops and consultative workshops; - Refine vulnerability analysis, system boundaries and project scope; - Identify specific sites for project intervention; - Support analysis of existing and finalization of proposed community-based adaptation measures in target areas; - Develop a community mobilization strategy; - Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements; - Assist in the design of the project's Knowledge Management and M&E component (including learning mechanisms and impact indicators); - Develop a replication and sustainability strategy for the project; - Liaise with Government counterparts, UNDP and international consultants
International			
International climate change and tourism adaptation expert (IC)	2,500+ plus travel	10	<ul style="list-style-type: none"> - Guide implementation of the PPG phase; - Assist in the vulnerability analysis of tourism areas and resources - Contribute to the overview of tourism-related policies and capacity analysis amongst stakeholder involved in tourism management - Provide technical advice for the formulation of plans for cost-effective adaptation approaches and measures - Help identifying suitable demonstration areas and approaches, providing technical advice to formulate community-based adaptation interventions - Oversee finalization of a Results Framework and definition of indicative project activities; - Define a project work plan and coordinate input by all national and international consultants; - Quality control for the FSP in line with UNDP/GEF requirements; - Assist in verifying climate risks associated with the project's target areas;

		<ul style="list-style-type: none"> - Validate problem analysis of the project; - Guide the determination of the scope and strategy of the project; - Finalize project Outcomes, Outputs and their corresponding verifiable indicators of success; - Ensure additionality of the project and guide/facilitate respective discussions; - Ensure that the project approach is cost-effective; - Contribute to the definition of UNDP-GEF compliant management arrangements; - Facilitate the process of co-financing design and ensure that co-financing letters are obtained; - Facilitate stakeholder consultations on project preparation, including finalization of a detailed budget and TOR for all inputs in line with UNDP-GEF criteria and eligibility principles - Assist in the development of project partnerships on tourism-related technical issues - Participate in at least 2 stakeholder workshops, providing presentations and advice on appropriate tourism management techniques, environmental, climate change and policy considerations - Liaise with UNDP and Government project coordinators on technical matters
--	--	--