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**GUIDE TO PROJECT DESIGN DOCUMENT PREPARATION**

**for the**

**EU-GIZ Adapting to Climate Change and Sustainable Energy  
(ACSE) Programme**

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## 1 Acronyms

|       |   |
|-------|---|
| ACSE  | Adapting to Climate Change and Sustainable Energy   |
| CBA   | Cost benefit analysis   |
| CC    | Climate Change  |
| CCA   | Climate Change Adaptation   |
| CN    | Concept Note  |
| EIA   | Environmental Impact Assessment   |
| EU    | European Union  |
| GIZ   | Deutsche Gesellschaft für Internationale Zusammenarbeit (German Agency for International Cooperation) |
| KM    | Knowledge Management  |
| IP    | Implementing Partner  |
| IUCN  | International Union for Conservation of Nature  |
| LFA   | Logical Framework Approach  |
| LOA   | Letter of Agreement   |
| LNA   | Lead National Agency  |
| MEPS  | Minimum Energy Performance Standards  |
| MoE   | Ministry of Environment   |
| M&E   | Monitoring & Evaluation   |
| MoU   | Memorandum of Understanding   |
| MSG   | Melanesian Spearhead Group  |
| NAO   | National Authorising Officer  |
| NIA   | National Implementing Agency  |
| PACPs | Pacific African Caribbean and Pacific States  |
| PDD   | Project Design Document   |

|       |   |
|-------|---|
| PIFS  | Pacific Islands Forum Secretariat                         |
| RAB   | Regional Assessment Board                                 |
| RAO   | Regional Authorising Officer                              |
| SE    | Sustainable Energy  |
| SPC   | Secretariat of the Pacific Community                      |
| SPREP | Secretariat of the Pacific Regional Environment Programme |
| ToR   | Terms of Reference  |
| USP   | University of the South Pacific                           |

## 2 Introduction to the EU-GIZ ACSE programme

Climate change is already disproportionately affecting the islands of the Pacific. Although Pacific islanders have done little to contribute to the cause producing less than 0.03% of current global greenhouse gas emissions, they are among the first to be exposed and the least able to respond. At the same time, despite efforts to reduce their reliance on fossil fuels and improve energy security, many Pacific Island countries are dependent on almost 100% of imported petroleum products for energy generation and transportation. Sustainable energy and climate change adaptation are therefore top priorities for Governments as expressed in regionally endorsed frameworks and national policies.

In response, the European Union (EU) is assisting fifteen Pacific ACP island countries<sup>1</sup> through a new regional Programme: ***Adapting to Climate Change and Sustainable Energy (ACSE) Programme*** funded under the 10<sup>th</sup> European Development Fund (EDF 10) Pacific regional envelope.

**The objectives of the ACSE programme** are to enhance sustainable livelihoods in Pacific island countries, strengthen countries' capacities to adapt to the adverse effects of climate change and enhance their energy security at the national, provincial and local/community levels.

The ACSE programme has three components:

***Component 1: EU-GIZ Adapting to Climate Change and Sustainable Energy (ACSE) Programme (18.64 million Euros)*** which is administered by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

***Component 2: Energy Catalytic Component (10 million Euros)*** which is managed by selected Pacific Island countries, and is partly co-funded by the Asian Development Bank (ADB) and the New Zealand Government; and

***Component 3: Technical and Vocational Education and Training (TVET) on sustainable energy and climate change adaptation (6.1 million Euros)*** which is managed by the Secretariat of the Pacific Community (SPC) in partnership with the University of the South Pacific (USP).

The ***EU-GIZ Adapting to Climate Change and Sustainable Energy (ACSE)*** is

- Administered by GIZ
- Implemented by fifteen PACPs with a partner entity of their choice
- Implemented through on-the-ground projects on climate change adaptation (CCA) and sustainable energy (SE).

**This Manual is a guide to Component 1: EU-GIZ Adapting to Climate Change and Sustainable Energy (ACSE) programme ONLY**

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<sup>1</sup> Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Republic of Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu and Vanuatu





## 3 Introduction to the call for proposals

### 3.1 Eligible sectors

The EU-GIZ Adapting to Climate Change and Sustainable Energy (ACSE) programme will support the implementation of projects based on proposals submitted by Pacific island countries in the areas of **climate change adaption (CCA) and sustainable energy (SE)**.

### 3.2 Allocations per country

Initial allocations have been made based on country populations as follows:

|  |           |
|--|-----------|
| Countries with population <50,000          | 400,000   |
| Countries with population 50,000> <200,000 | 650,000   |
| Countries with population >200,000         | 1,000,000 |

The country allocations are shown in the table below.

| Country                         | Population <sup>2</sup> | EU-GIZ ACSE programme allocation in EURO |
|---------------------------------|-------------------------|--|
| Cook Islands                    | 15,200                  | 400,000                                  |
| FSM                             | 103,000                 | 650,000                                  |
| Fiji                            | 859,200                 | 1,000,000                                |
| Kiribati                        | 108,800                 | 650,000                                  |
| Marshall Islands                | 54,200                  | 650,000                                  |
| Nauru                           | 10,500                  | 400,000                                  |
| Niue                            | 1,500                   | 400,000                                  |
| Palau                           | 17,800                  | 400,000                                  |
| PNG                             | 7,398,500               | 1,000,000                                |
| Samoa                           | 187,400                 | 650,000                                  |
| Solomon Islands                 | 610,800                 | 1,000,000                                |
| Timor-Leste                     | 1,201,542               | 1,000,000                                |
| Tonga                           | 103,300                 | 650,000                                  |
| Tuvalu                          | 10,900                  | 400,000                                  |
| Vanuatu                         | 264,700                 | 1,000,000                                |
| <b>Initial allocation TOTAL</b> |                         | <b>10,250,000</b>                        |
| Contingency                     |                         | 750,000                                  |
| <b>TOTAL</b>                    |                         | <b>11,000,000</b>                        |

**Where country allocations are not committed within the necessary timeframe as outlined in this guide (see timetable in Section 10), the Steering Committee will re-distribute funds to ensure the use of all funds within the deadline established by the EU.**

<sup>2</sup> SPC pocket statistical summary, 2013; Except Timor-Leste: The World Fact book, CIA, accessed online May 2014

### 3.3 Number of projects per country

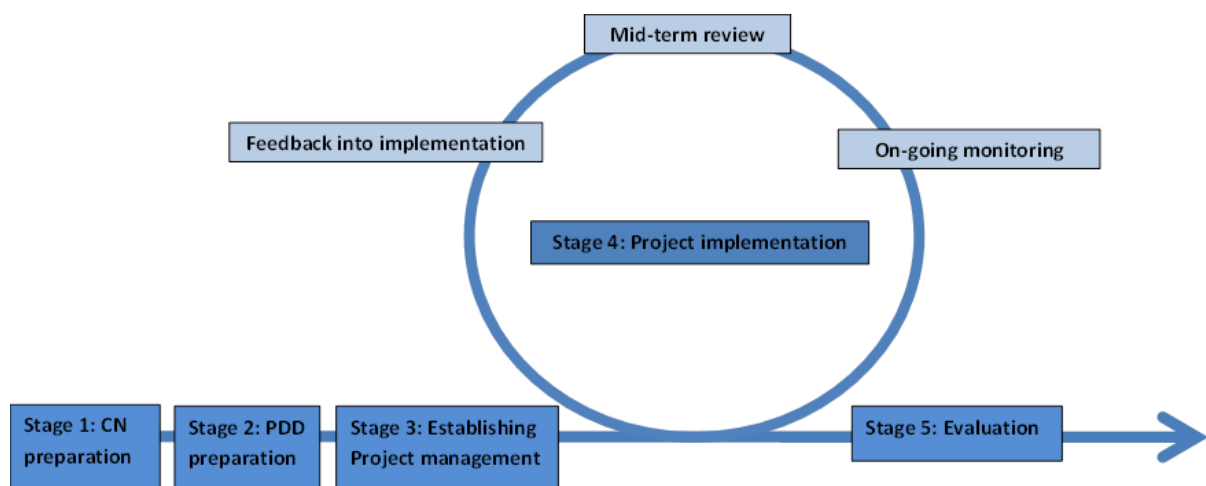
The country allocation can fund up to two approved projects per country in the field of CCA and/or SE (or projects covering both areas). Countries should only integrate CCA and SE into one project where there are synergies. In general, CCA and SE initiatives should form separate projects, and separate PDDs.

### 3.4 Collaboration between countries

Pacific ACPs<sup>3</sup> (PACPs) with similar concept notes are encouraged to work together on **joint proposals**. For joint proposals, the allocation of participating countries can be added together. The benefits of joint applications include sharing knowledge, best-practice, and lessons learnt.

### 3.5 Overview of the process

#### SUMMARY OF THE PROCESS: STAGES 1 TO 5



#### 3.5.1 Stage 1: Concept notes

- Each country is invited to develop and submit concept notes (CN) to GIZ;
- Each country can submit up to three concept notes;
- Countries should follow their own internal procedures to develop and endorse concept notes;
- Countries will have **six weeks** to submit concepts notes;
- Concept notes must be submitted by the NAO to GIZ;
- Each concept note can include an implementing partner(if relevant);
- The concept notes will be screened by GIZ, PIFS (as the RAO) and EU;
- A maximum of two concept notes will be approved and will be the basis for the development of project design documents (PDDs).

<sup>3</sup> ACP – African, Caribbean and Pacific States

### 3.5.2 Stage 2: Project design documents (PDDs)

- GIZ will provide training in development of PDDs in accordance with a defined set of criteria and requirements;
- If external support is required for the development of PDDs, funding can be allocated out of the country allocation (up to €30,000 per PDD);
- Countries need to identify the **contracting party** in their PDD. The contracting party is the party with whom GIZ will conclude the contract to implement the project. It has to meet EU and GIZ financial, procurement, and administrative requirements. The contracting party can be a national level agency, or an implementing partner.
- Countries should identify in the PDD their **implementing partner** (if relevant); the implementing partner should be involved in the development of the PDD;
- The PDD development process must ensure comprehensive consultations with, and participation of, relevant stakeholders;
- PDDs must be signed off by the Ministry responsible for the implementation of the project, by the National Focal Point for Climate Change or the National Focal Point for Energy, the implementing partner (if relevant) and by the National Authorising Officer (NAO);
- Countries will have **until 30 April 2015** to prepare their PDD;
- PDDs must be submitted by the NAO to GIZ;
- PDDs will be assessed by the Regional Assessment Board (RAB, see Annex 1);
- The Board may provide feedback or ask additional questions about a PDD;
- Countries will have the opportunity to respond to feedback and resubmit PDDs;

### 3.5.3 Stage 3: Establishing project management

- A pre-requisite for accessing funding under the EU-GIZ ACSE programme is a Memorandum of Understanding (MoU) between GIZ and the respective country (see Annex 2 for sample MoU).
- Countries that already have a MoU with GIZ for other projects will require an amendment to that MoU.
- Upon approval of PDD:
  - GIZ will enter into a Financing Agreement (contract) with the PDD's Contracting Party (national level agency, or implementing partner);
  - Project management arrangements will be established between contracting parties and other project partners to ensure that financial and technical reporting requirements are agreed upon;
- GIZ will coordinate the hiring of **In-Country Coordinators** in partnership with the respective PACP (contracts, LoAs, etc. will be set-up as necessary);
- GIZ will provide support for the establishment of project management arrangements through 5 Technical Advisers:
  - Food Security and Livelihoods
  - Integrated coastal management

- Infrastructure
- Energy
- Social scientist
- A Regional Steering Committee has been established to provide overall guidance, make recommendations and provide advice (see Annex 3).

#### **3.5.4 Stage 4: Project implementation**

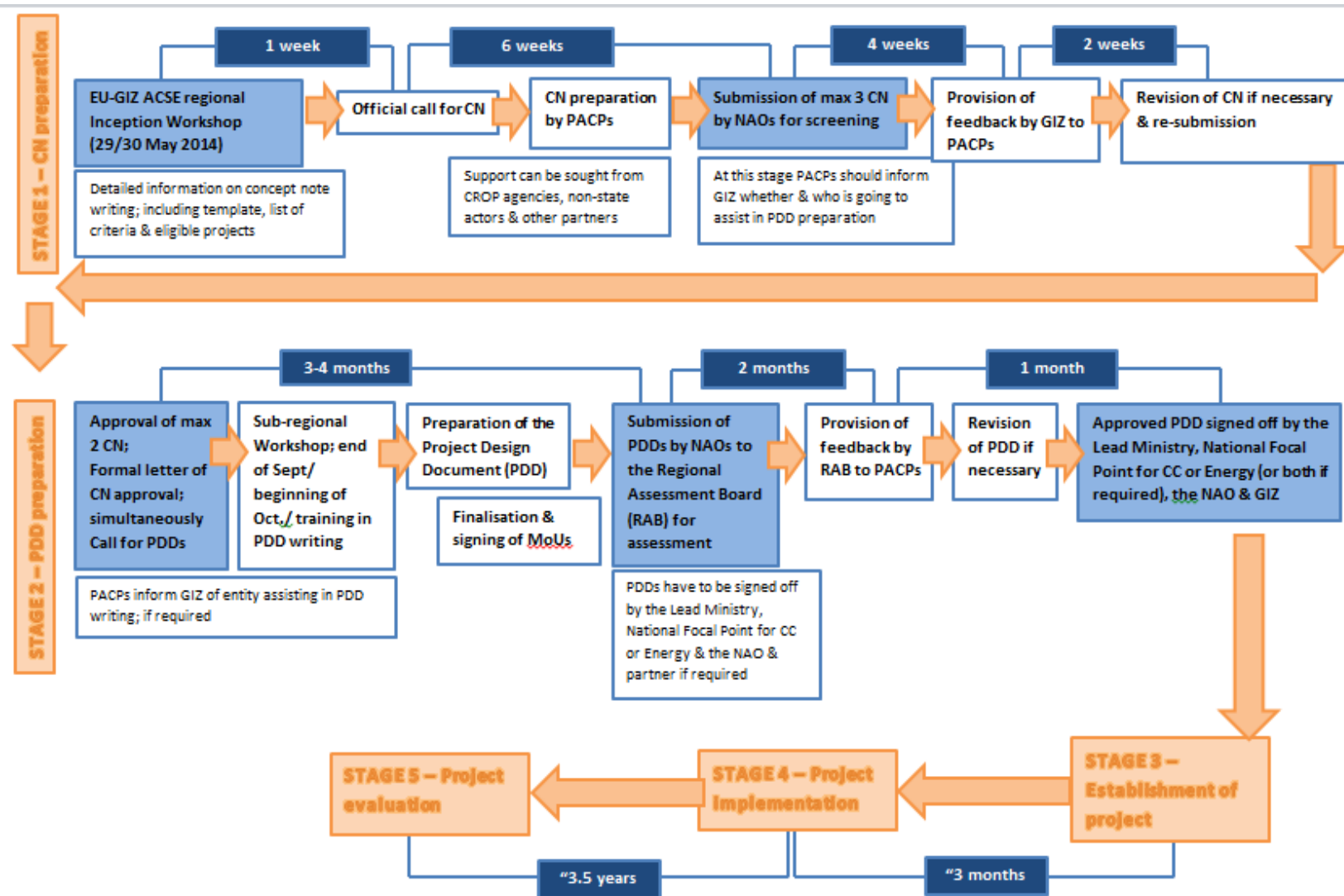
- Implementation of project on the ground starts;
- On-going technical assistance is provided by GIZ through the five technical advisers;
- The contracting party will carry out on- going financial reporting and technical monitoring (using the monitoring data spread sheet) on a quarterly basis;
- Quarterly finance reporting is required;
- Half yearly technical progress reporting is required against the log frame to complement the monitoring data spread sheet;
- The two half-yearly technical progress reports will contribute to the annual progress report which will be reviewed by the regional ACSE Steering Committee;
- Annual internal financial auditing is to be undertaken.

#### **3.5.5 Stage 5: Evaluation**

- Mid-term evaluation (progress on outcomes) for projects that are more than 24 months is required; the mid-term evaluation can be internal for projects under €500,000, but GIZ reserves the right to request an external evaluation.
- Projects greater than €500,000 require an external evaluation and financial audit. To be safe, all projects should include budget for an external audit and external evaluation;
- Final evaluation and financial audit (external);

The cost of reporting, evaluations and financial audits need to be incorporated into the project budget.

A detailed flow chart for Stages 1 and 2 is given below.



## 4 Information on eligible projects

The information provided in this guide on potential eligible projects is non-exhaustive and non-exclusive.

### 4.1 Eligible projects

Various sectoral themes are highlighted below, however **integrated approaches are encouraged**. Joint CCA and SE projects are eligible. Joint approaches between countries are also eligible and encouraged.

There are two project types:

#### **TYPE 1 PROJECTS: ENABLING ENVIRONMENT**

These projects should focus on areas that are currently constraints to the implementation of CCA or SE which may include policy, strategy, planning, legislation, standards and regulations development, data and information collection and analysis, knowledge management, and monitoring and evaluation and coordination strengthening (the focus should not be on hardware).

Projects may include cross-sectoral training measures that support creation of an enabling environment (e.g. cost-benefit analysis, gender training). Wherever possible, the training should be conducted in-country. Long-term (exceeding 1 month) training and education courses are not eligible.

These projects are eligible for a grant of up to 200,000 Euros. This amount would come out of the country's allocation.

**All countries must submit at least one Type 2 project. Countries may also submit a Type 1 project which may or may not be linked to the Type 2 project. Where Type 1 and Type 2 projects are not related, separate PDDs must be submitted.**

#### **TYPE 2 PROJECTS: CCA OR SE ON-GROUND IMPLEMENTATION**

These projects can be carried out in any sector(s) in CCA and/or SE and are eligible for a grant of up to the maximum country allocation. These projects are expected to:

- Reflect government CCA & SE priorities as outlined in national and sectoral policies, plans and strategies
- Be based on sound technical studies and assessments and/or include carrying out these studies where needed;
- Include a clear theory of change as to how measures proposed address the underlying problems;
- Utilise commercially proven and available technology and equipment (this applies especially to SE);

- Complement, or even scale up existing activities and initiatives. They should not conflict with other development projects;
- Focus on replication and enhancement of tried and tested approaches;
- Create social and economic incentives for behavioural change;
- Encourage innovation<sup>4</sup> and learning;
- Have clear results-oriented indicators and monitoring.

The projects may integrate enabling environment measures (Type 1 projects) as long as this leads to implementation on the ground.

The projects may also integrate capacity building measures that contribute to the successful implementation of on-the-ground measures.

In general, preference will be given to projects that support integrated approaches, that promote sustainable development and cross-sectoral collaboration and meet the climate change adaptation and sustainable energy needs of communities in a holistic way.

#### 4.2 Examples of eligible projects

**The lists below both for Type 1 and Type 2 projects are only indicative examples of possible projects. Projects in areas not listed below will also be considered.**

##### Type 1 projects: enabling environment

Projects as described below would be eligible for a grant of up to 200,000 Euros. The following list of interventions is indicative only.

- Knowledge management activities such as information management and dissemination, database development, data collection, data storage, data sharing, promotion of evidenced based decision making and enhanced monitoring, evaluation and learning;
- Strengthening the evidence base for decision making through the development, application and institutionalisation of analysis tools such as vulnerability and adaptation assessments, land-use and coastal zone mapping, cost-benefit analysis, gender analysis, feasibility and risk assessments.
- Supporting national and/or local good governance mechanisms (e.g. Island Councils, Provincial Governments, coordination committees etc.) to drive, manage and coordinate adaptation and SE initiatives at all levels;
- Strengthening of national observation, management, monitoring and evaluation mechanisms;
- Empowerment of vulnerable groups to better access important adaptation and SE information, participate in decision making processes and manage risks effectively;

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<sup>4</sup> Replication and scaling up of existing solutions is a priority, however, innovation of new ideas is not discouraged.

- Carrying out resource assessments for different renewable energy sources;
- Coastal and land use zoning and planning that consider climate risks and sustainable development.

### **Type 2 projects: CCA or SE implementation**

Below are examples for eligible project or project elements for a grant of up to the maximum country allocation. The following list of interventions is indicative only and projects in other areas not in the list below will also be considered.

**In all cases, Type 2 projects must focus on implementation on the ground**

#### ***Climate Change Adaption Projects***

Some of these project or project element examples may overlap, which demonstrates the inter-linked nature of climate change adaptation initiatives.

#### ***Food Security, including agriculture, fisheries and forestry***

- Promotion of integrated farming systems to increase resilience (agriculture, aquaculture and agro-forestry systems);
- Promotion of resilient crops and trees, livestock breeds and agricultural practices;
- Diversification of agricultural production;
- Development and implementation of community-based fisheries management approaches & plans for sustainable coastal fisheries;
- Development and implementation of strategies to increase community access to oceanic fish;
- Development of aquaculture;
- Promotion of food preservation techniques;
- Development, improvement and diversification of income generating businesses for local communities, particularly for women, youth and marginalized people (including value-adding to local land and marine resources in sustainable ways);
- Assessment, surveillance and control of pests and diseases;
- Rehabilitation and restoration of degraded forests;
- Development and implementation of insurance mechanisms to reduce agricultural & fisheries losses;

#### ***Land use and coastal zone planning and management***

- Development and implementation of land and marine spatial plans (e.g. land use plans, coastal zone management plans, marine management areas and plans, etc.) that consider climate and disaster risks;
- Development of integrated watershed management approaches to reduce erosion, sedimentation and flooding risks to agricultural livelihoods near rivers, lagoons and reefs;



- Protection of coastal areas through the management and rehabilitation of mangrove and seagrass areas and planting of coastal tree species;
- Protection of coral reefs and promotion of sustainable coastal fisheries practices;
- Relocation of vulnerable communities and infrastructure;

### ***Health, water and sanitation***

- Development and implementation of integrated water resource management plans;
- Development and improvement of water and sanitation systems and their maintenance;
- Monitoring and implementation of measures to address saltwater intrusion;
- Development and improvement of rainwater harvesting and water storage systems and their maintenance;
- Improvement of good governance, conservation measures and management of water use;
- Expanding the use and supporting the uptake of water saving technologies such as composting toilets;
- Improvement of surveillance, control and awareness of climate-sensitive diseases;

### ***Integrated knowledge management, education, cultural and socio-economic development***

Depending on the scale, the following examples could be standalone large projects or, at a smaller scale either enabling projects or integral part of any of the above projects.

- Strengthening formal or informal education on CCA and SE (curricula, teacher & facilitator training, education materials & approaches and school-community based initiatives);
- Expanding and developing weather and climate service capacities to develop and disseminate targeted information products to users including communities;
- Development and implementation of awareness and media campaigns for communities, schools, training providers, faith-based organisations and the private sector (including e.g. social media, documentaries, games, television, radio, events, drama, music, etc.);
- Research, review, preservation and promotion of traditional knowledge in agriculture, fisheries, forestry, health, food processing, weather forecasting and other related areas;
- Strengthening the evidence base for decision making through the development, application and institutionalisation of analysis tools such as vulnerability and adaptation assessments, land-use and coastal zone mapping, cost-benefit analysis, gender analysis, feasibility and risk assessments;
- Targeted of measures to empower and address the needs of vulnerable and marginalised groups which could include women, children, people with disabilities, those living in informal settlements and low-income groups;
- Improvement of knowledge management activities such as information generation, management and dissemination, database development, data collection, data storage,

data sharing, promotion of evidenced based decision making and enhanced monitoring, evaluation and learning.

### ***Sustainable Energy Projects***

#### ***Renewable energy***

- Renewable energy for cooking, drying and/or cooling applications;
- Implementing storage and control systems for higher renewable energy penetration into the grid and increased grid stability;
- Development and implementation of innovative renewable energy projects for private sector participation, including innovative financing and tariff structures;
- Investment into renewable energy systems;
- Improving management of operations and maintenance of renewable energy systems.<sup>5</sup>

#### ***Energy efficiency***

- Implementation of energy efficiency in public and private buildings;
- Energy efficient lighting for public buildings, homes street lighting, etc.;
- Development and implementation of appliance energy labelling and Minimum Energy Performance Standard (MEPS) projects;
- Development and implementation of energy auditing and energy management systems;
- Development and implementation of innovative energy efficiency projects for private sector participation including innovative financing;
- Investment in energy efficient cooking, cooling and heating systems;
- Improving management of operation and maintenance of energy systems.<sup>6</sup>

#### ***Sustainable energy for transport***

- Development and implementation of energy efficient urban and rural transport systems plans;
- Investment into renewable energy for land and sea transport.

Where relevant, "bankable" energy projects will be advised to consider blending mechanisms, making use if feasible, of the EU-Investment Facility for the Pacific. Investment facilities for eligible countries will be discussed at the regional PDD training workshops.

## **5 Stage 1 - Concept notes**

The first version of the Guide that included instructions for concept notes is available online at

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<sup>5</sup> However, the ongoing operation and maintenance costs of new or existing renewable energy installations are not eligible

<sup>6</sup> However, the ongoing operation and maintenance costs of new or existing energy installations are not eligible

[http://www.pacificclimatechange.net/components/com\\_booklibrary/ebooks/Guide%20to%20the%20EU-GIZ%20ACSE%20programme%20v1%206.pdf](http://www.pacificclimatechange.net/components/com_booklibrary/ebooks/Guide%20to%20the%20EU-GIZ%20ACSE%20programme%20v1%206.pdf)

The submission of concept notes and assessment by EU, PIFS and GIZ identified eligible projects for which countries are invited to submit project design documents (PDDs).

A maximum of two concept notes can be approved at the end of this process and will form the basis for development of PDDs.

Where countries do not submit concept notes within timeframe, or where concept notes are not approved, the Steering Committee will re-allocate funds as necessary to ensure these are committed in time to meet EU deadlines.

## 6 Stage 2 - Development of PDDs

### 6.1 PDD eligibility

The PDD must be based on a concept note which has passed initial screening and been approved by NAO, GIZ, PIFS and EU (see Section 5).

Each country may have up to two concept notes approved. Each approved concept note must be developed in a **separate PDD**.

The template for PDDs is provided in Annex 4 of this Guide. The PDD contains instructions for its completion. This guide also provides information to assist in completing the PDD.

Countries with similar, comparable and/or complementary projects are encouraged to work together on joint PDDs even if not presented jointly at the concept note stage. An opportunity for identifying joint proposals will be available at the PDD training. For joint PDDs, the allocations of participating countries can be grouped together.

**In order to make financial arrangements with countries, a Memorandum of Understanding (MoU) between the Government of each Pacific ACP country and GIZ must be in place. The MoUs should be concluded before submission of the PDD. It sets out the roles and responsibilities and expresses the commitment of GIZ and the Government in working together to implement the ACSE programme. Countries decide, who will sign the MoU on their behalf.**

**Countries who already have an MoU with GIZ may decide to either amend that MoU, or a conclude a separate one. A draft generic MoU is attached as Annex 2.**

### 6.2.1 External support

If external support is required for the development of PDDs, up to €30,000 per PDD can be allocated out of the country allocation. This sum should cover any costs of contracted experts or supporting the implementing partner, including their travel and accommodation where necessary (to the sum of up to €20 000), as well as local travel costs and costs of national consultations, including workshop costs and travel (to the sum of up to €10 000). If two Concept Notes are being developed into two PDDs, then up to €30,000 can be allocated from the country's allocation for each PDD.

Countries can use this funding to secure the services of consultants, non-state actors like NGOs and CSOs, CROP agencies or other professional entities to support them in the development of their PDDs. If the country has selected an implementing partner the same partner should support the PDD development.

GIZ will directly contract the selected entity (ies) to undertake the PDD preparation tasks as identified by the country and according to GIZ rules and regulations. Contracted consultants will report to the respective PACP and GIZ.

**Countries must alert GIZ to a request for funding to support PDD development before any arrangement is confirmed.**

### 6.2.2 Training on PDD development

GIZ will provide technical assistance and training in PDD writing to government officials and nominated representatives of implementing partner organisations at two sub-regional workshops.

After the concept notes have been approved, GIZ will send out invites to countries' focal points to nominate participants to take part in sub-regional workshops for further guidance and training in PDD preparation.

An overview of the proposed structure and content of the subregional workshops is provided below.

#### **Objectives of workshops**

- Countries and implementing partners will be informed and updated about the EU-GIZ ACSE programme processes and procedures for PDD preparation, establishment of project management, project implementation and technical and financial management and reporting;
- Approved concept notes will be presented and potential collaboration between countries identified;
- Participants will be trained on PDD development supported by a step-by-step process using a set of project design tools;

- Time will be provided to clarify questions.

### **Participants**

The country participants nominated should preferably be the same as those contact points included in the approved concept notes. If countries selected an implementing partner, a representative will be invited to the subregional workshop. Other participants would be:

- GIZ Programme Management Team as facilitators;
- Representative(s) of the RAO and EU Delegation;
- Observers from development partners active in the region.

**Duration of the workshop:** three days

### **Results expected**

- Participants are informed about each countries' projects;
- Countries wishing to collaborate and submit joint PDDs for similar projects are identified;
- Participants are informed about PDD writing guidelines, requirements, templates, processes and timelines and have a clear understanding on how to prepare their PDDs; and
- Countries build partnerships with their chosen implementing partner(s) and other countries (if relevant).

### **Organisation**

The PDD development workshop will be organised by GIZ. GIZ have contracted Pacific Research and Evaluation Associates (PREA) to assist with the development of the project design documentation and to deliver workshop training and facilitation. The first communication of workshop details will go out together with the notification of approval of concept notes.

### **6.3 Process for PDD preparation and approval**

The process for PDD preparation and submission is as follows:

- The due date for PDD submissions to GIZ is **30 April 2015**;
- Countries should clearly identify in the PDD their implementing partner (if relevant); the implementing partner should be involved in the development of the PDD;
- The PDD development process must ensure comprehensive consultations with, and participation of, relevant stakeholders;
- The country should follow its own internal procedures to develop and endorse its PDD;
- **PDDs have to be signed off by:**

- The proposed contracting party (national level entity or implementing partner, if relevant);
  - the Ministry in charge of implementing the project if different from contracting party;
  - the National Focal Point for Climate Change or Energy respectively; and
  - the National Authorising Officer (NAO); by letter of approval attached as annex to the PDD.
- **PDDs must be submitted by the NAO to GIZ;**
  - Proposals will be assessed by the Regional Assessment Board (RAB, see Annex 1);
  - Assessment will be undertaken against published criteria with their respective weighting (see Annex 5);
  - Countries will receive feedback on the PDD within two months;
  - Countries will have one month to revise their PDD if necessary; if a proposal has to be redrafted it should incorporate the feedback received from the Regional Assessment Board;
  - The revised PDD will be reassessed by the RAB;
  - Recommendations from the RAB will be provided to the ACSE steering committee
  - After the PDD is approved by the RAB, a notification letter will be sent by GIZ to countries;
  - Thereafter follows establishment of the project management including MoUs and financial arrangements, after which project implementation starts (see Section 8).

#### 6.4 Criteria and points system for assessment of PDDs

PDDs will be assessed based on the criteria and points system documented in Annex 5. General guidance regarding this criteria and the point system is given below:

- For the General criteria, a “No” assessment result will require the PDD to be resubmitted;
- For the other criteria, a minimum total score of 50/55 is required for the PDD to be approved;
- Guidance questions are included to indicate the information which the assessors will be looking for in the PDD and are also there to assist in a uniform assessment of PDDs by different individuals who may be assessing them;
- The points are based on a one question = one point scoring principle;
- The questions are included in the PDD template (annex 4);
- Include answers to all relevant questions in your PDDs. Be concise but provide enough detail to appropriately respond to the question. If you are unsure what is required to respond to a question, please refer to the Frequently Asked Questions (FAQ) or contact GIZ;

- Be guided by the number of points allocated to the criteria and by the suggested length of each section in the template as to how much detail is needed in answering each question;
- Note that the PDD cover page does not count towards the 26 pages maximum length of the PDD.

**A minimum total score of 50/55 is required for the PDDs to be approved.**

## 6.5 Structural arrangements for contracting and implementation

The project may involve a number of entities, depending on the national level processes for contracting and implementation. Table 1 below describes the different entities.

**TABLE 1. ENTITIES THAT MAY BE INVOLVED IN PROJECTS**

| Entity name                        | Description  |
|------------------------------------|--|
| Lead National Agency (LNA)         | <p>The country's Government department or ministry that is responsible for coordinating (focal points) climate change adaptation and/or sustainable energy projects. The LNA will supervise project implementation and administration. This entity may or may not be responsible for implementing the project.</p> <p>The country may delegate administration and implementation to the National Implementing Agency or an Implementing Partner.</p> <p>Where countries do not have a separate entity for LNA, it will be the same as the NIA.</p>                       |
| National Implementing Agency (NIA) | <p>The country's Government department or ministry that will be responsible for the technical implementation of the project. This entity may be the same as or different from the Lead National Agency. All projects should have an NIA.</p> <p>The country may delegate administration and implementation to an Implementing Partner.</p>   |
| Implementing Partner (IP)          | <p>An external organisation such as a CROP agency, other regional organisation, or NGO that has financial, procurement and administrative procedures in place that meet GIZ/EU requirements.</p> <p>Countries are encouraged to work with an implementing partner organisation.</p> <p>The implementing partner must be a legal entity registered in one of the PACPs and must not be subject to any sanctioning (EU and GIZ blacklists).</p> <p>It is not mandatory to have an implementing partner; however, it is <b>encouraged</b> for reasons documented below.</p> |
| Project Partner(s)                 | <p>Project partners may be CROP agencies, regional organisations, NGOs, or private sector organisations. These may provide advice, or assist with on the ground implementation.</p>  |



### 6.5.1 Contracting party

The PDD must identify the '**Contracting Party**'. The contracting party will have financial and management responsibility for implementing the agreed activities with the funding provided, and must meet GIZ/EU criteria for finance, procurement and administration. It is important that Countries understand who the different types of entities (Table 1 above) are so that they can select the most appropriate structural arrangements to implement their project. The contracting party may be either a national level entity, such as the Lead National Agency or National Implementing Agency, or an Implementing Partner.

The contracting party **must be able to demonstrate** that they meet the finance, procurement and administration requirements set by GIZ. The specific requirements are outlined in Table 2. This will involve GIZ assessing the entities with the following:

- established and verifiable organisation procedures;
- organisation charts;
- procedural manuals & working instructions;
- staffing of established positions, number of professional staff, number of admin and finance staff;
- procurement rules meet GIZ requirements (these must be submitted);
- previous financial audits;
- previous project experience with GIZ (if relevant).

**TABLE 2. REVIEW CRITERIA FOR ACCESSING FINANCE AS CONTRACTING PARTY**

|   |
|---|
| <p><b>Legal status</b></p> <p>An essential requirement for a financing agreement is that the recipient must be <b>non-profit</b> and either be a <b>legal entity</b> or an established representative of one.</p> <p>(E.g. ministries, but not subordinate departments and administrative units.) Evidence of legal status needs to be presented.</p> <p>A case-by-case review is needed for recipients which are not public entities (associations, foundations etc.) regarding corporate form, registration, registered office.</p> |
| <p><b>Organisation</b></p> <p>It is necessary to check if the recipient has an established and verifiable organisation and procedures which are appropriate to their tasks.</p> <p>(Check using organisation chart, procedural manuals, working instructions etc. Comparison with actual structures, staffing of establishment positions, suitability of personnel)</p>   |
| <p><b>Accounting</b></p> <p>It is necessary to check if there is an appropriate accounting system with qualified personnel. It must meet at least national standards, and where larger sums are involved possibly also</p>  |

international accounting standards.

(Submission of annual budget and proper annual financial statements, annual sales and implemented budgets for the past three years, comparison with level of planned financing)

#### **Contract award procedure**

Are there rules which meet national legislation and international standards? Are they verifiably applied?

(Prevailing law on contract award, application, results of reviews)

#### **Internal and external controls**

Existence, mandate, quality of international control bodies.

External auditors and reports, including other donors.

#### **Experience to date with processing**

Extent, quality of technical and administrative implementation of earlier financing, including other donors.

Countries are **encouraged to select and work with a proven implementing partner** who meets the above requirements. Partnering will save the countries significant time demonstrating that they meet the GIZ standards.

GIZ has existing financing agreements with a number of organisations that are known to meet the administration, finance and procurement requirements. These organisations are:

- Secretariat of the Pacific Community (SPC)
- Secretariat of the Pacific Regional Environmental Programme (SPREP)
- Melanesian Spearhead Group (MSG)
- International Union for Conservation of Nature (IUCN)
- University of the South Pacific (USP)

Selecting one of these organisations as an Implementing Partner and Contracting Party will facilitate the assessment process and contracting stage.

**If a country selects a national-level entity to become the contracting party, it will need to provide GIZ with the required documentation to demonstrate that it meets the financial, procurement and administrative requirements of GIZ. This documentation should be submitted at the same time as the PDD.**

**The NAO and implementing partner (if relevant) must sign the financing agreement with GIZ.**

## 6.6 Background

Each PDD must expand on the background information provided in the concept note. The information should provide the reader with an overview of the current situation related to the sector and/or issue the project relates to.

For climate change adaptation related projects, also briefly discuss national modelling/predictions for climate change scenarios and likely impact on the sector(s).

For sustainable energy related projects, also include a description of the existing energy sector (sources of energy, grid-connected, stand-alone power, access, supply, demand, existing sustainable energy infrastructure).

Discuss and list any existing research, feasibility studies or other studies that have been conducted in the target sector(s) and what were the key findings and results relevant to this project. Each research paper or study should be clearly referenced. Where possible, include website links to relevant information.

## 6.7 Stakeholder Analysis

All PDD submissions should be informed by an inclusive consultation process. Countries are requested to build upon the concept note consultations and conduct a more detailed participatory consultation with stakeholders. In addition to completing a stakeholder analysis matrix, the target group and beneficiaries must be clearly identified in the stakeholder analysis. Countries need to describe what process or methods they have used to consult with stakeholders. It is important to ensure that a **meaningful** approach has been undertaken, which refers to the appropriateness of the consultation process for the particular stakeholder (e.g. were they provided with enough information before the consultation, were they given an opportunity to provide feedback in an open manner, were socio-cultural aspects considered in planning the consultation etc.).

## 6.8 Problem analysis

Submissions must clearly document what the problem is that the project is attempting to solve. This must include identifying the causes and effects of the identified problem. A problem tree created using a participatory process must be included in the submission along with a more detailed description of the problem, causes and effects.

## 6.9 Proposed solution

The submission must clearly outline the proposed solution to the problem. Countries must be able to justify why the proposed solution is being put forward as the preferred solution by comparing the solution to alternative solutions. Comparison with alternative solutions may involve conducting a multi-criteria analysis, cost benefit analysis, social/gender analysis of the problem and proposed/alternative solutions, or scoring and ranking the different solutions against a set of pre-defined criteria. Justification can also be supported by referring to existing research and case studies. Countries must also be able to justify why

the proposed pilot sites (locations) in-country were selected. They also need to explain how the proposed solution incorporates gender, promotes meaningful social inclusion and addresses poverty alleviation.

The proposed solution needs to be documented in a log frame matrix to show the logical linkages between project activities, outputs and achieving the planned project outcomes.

### 6.10 Alignment of project to ACSE objectives and indicators

At least one of the project outcomes must be aligned to an ACSE outcome. ACSE outcomes are:

1. Enabling environment and communities' adaptive capacity to cope with climate change challenges, including gender specific challenges, are enhanced
2. Cost-effectiveness and efficiency of energy systems are improved and dependence on fossil fuels is reduced

For each ACSE outcome that a project is aligned to, countries will need to select one or more ACSE indicators (see Annex 4.3) and ensure that one or more of their project indicators are aligned to the selected ACSE indicators. A template is provided to guide countries in aligning project outcomes with ACSE outcomes and indicators.

### 6.11 Environmental, economic & social impacts

PDDs should identify any positive or negative environmental impacts that may arise as a result of project implementation and/or maintenance. For example, consideration must be given to the life-cycle management of sustainable energy equipment installed in remote areas as this may pose a negative impact. This may require consideration of recycling and disposal mechanisms in place for equipment (like batteries) at the end of its life-cycle in an environmentally-friendly manner. Potential negative impacts can be managed as risks and included in the risk matrix.

PDDs need to explain if national regulation requires that a project undertakes an Environmental Impact Assessment (EIA). If the EIA has been conducted, then it should be attached to the application. The applicant must demonstrate how the EIA's recommendations have been considered in the proposed solution.

If an EIA is required, but has not yet been conducted due to the short amount of time available to develop the PDD, then conducting the EIA needs to be a leading activity in the implementation plan. GIZ reserves the right to reassess continued funding for the proposed project pending the results from the EIA and the ability for the project to accommodate the EIA recommendations and still achieve its outcomes.

Countries also need to consider and manage possible negative or positive economic and social (including gender differentiated) impacts that may arise from implementing their projects (e.g. loss of livelihoods, or unintended benefits etc.). Any negative impacts must be

described along with measures that will reduce the risk of occurrence. This can be incorporated in the risk matrix.

## 6.12 Risk Management

A risk is the potential of losing something of value or something going wrong. All projects have associated risks that need to be considered when designing and implementing a project. The process of risk management helps manage the risks in a project. Two principles applied to risks, reduction and response can help reduce the chance a risk will occur and reduce the impact of risks if they do occur.

### **Risk Reduction**

Using a process of risk identification and management the project can minimise the likelihood that a risk will occur. This is called **risk reduction** and it involves modifying the project design or adding in additional activities (they may be simple small steps) to reduce the likelihood that the risk will occur.

### **Risk Response (Contingency)**

Risk management can also minimise the impact to the project if the risk does occur. This is done by identifying **risk response or contingency measures** in the design phase of a project (See Table 3). If a risk does occur, the project team can quickly respond by implementing these contingency measures.

**TABLE 3. EXAMPLE OF REDUCTION AND CONTINGENCY**

| Risk  | Reduction measure   | Risk response / Contingency   |
|---|---|---|
| High level endorsement of proposed policy and regulatory changes to support coastal adaptation may be lacking from the Ministry of Environment due to existing priority areas currently tabled. | <p>Engage MoE in initial policy review process to increase their ownership of the revised policy.</p> <p>Prepare policy briefs that clearly and simply communicate the proposed changes</p> <p>Budget for 5 days administrative time for MoE staff to review the proposed changes</p> | Highlight the national importance and strategic benefits of policy endorsements to the PM via memo copying all heads of department. |

A project’s risks can be documented in a risk management matrix which forms the core component of a risk management plan. The ACSE submission requires each project to address the topic of risk management using a risk management matrix (Annex 4.4).

**Steps to develop a risk management matrix:**

1. Identify the risks. Assumptions (positive statements) in the log frame matrix can be turned into risks (negative statements) to provide a starting point.
2. Categorise the type of risk:
  - Political
  - Economic / Financial
  - Time
  - Resources (capacity & capability)
  - Management (internal)
  - Security
  - Environmental
  - Social
  - Health & safety
3. Specify the impact of the risk if it eventuates. This is comprised of a short written summary.
4. Categorise the priority – Likelihood & impact of risk. This is made up of an assessment of the risk to determine how likely the risk is to occur (Likelihood) and also the impact the risk event will have on the project (Impact). Both Likelihood (L) and Impact (I) are rated on a scale between 1 and 5 where 1=low and 5=high. Risks with high scores require more attention and closer management.

5. Identify risk reduction and contingency measures for all risk items
6. Add additional indicators to M&E plan to track risks

Risks identified in the design phase can be monitored and reported on during implementation so the project team can keep a close eye on risks as they arise.

### 6.13 Knowledge management

Knowledge management (KM) refers to both how documents will be managed and how the lessons and results from a project will be collected, documented and communicated to internal and external stakeholders/audiences.

#### **Managing Knowledge**

It is not uncommon for project documents to be lost when a staff member changes roles or a laptop or computer breaks down because the documents are only stored in one location (the laptop or computer). Additionally, sometimes, project documents are not filed away under a logical folder structure and project teams are unable to find project documentation when required. To address this issue, countries will need to demonstrate that they have a document management and back-up system in place to manage project documentation. For example, an existing office network drive that is backed up regularly, a Dropbox folder or a Database package that will be used to store and manage project documents.

Countries will also need to describe who will be responsible for managing all the project documents and ensuring they are filed away, backed-up, and. It is recommended that each project document should contain a date and version number.

#### **Knowledge Management (KM) Plan**

A KM plan should be created to document the target audiences for KM, the key messages that should be communicated, the products that will be developed, delivery dates, distribution plan and estimated costing for production & sharing of the KM. A template for a KM Plan is provided in as an annex to the PDD template (Annex 4.5).

Primary target audiences for KM should include as a starting point:

- national representatives and civil servants engaged in CCA and SE mainstreaming, policy, planning and analysis
- community members at CCA and SE project sites and wider national audience
- non-governmental, inter-governmental, regional , civil society and faith-based actors engaged in CCA and SE awareness, advocacy and activities in PACPs

Secondary target audiences for KM may include as a starting point:

- development partners
- donors

- general public in donor countries

It is expected that projects will produce some of the following KM products:

- Technical reports
- Media articles
- Lessons learnt
- Photo stories
- Documentaries
- Project banners - Programme and national banners will be produced for use at public events and workshops
- Project stickers - An A3 size ultra-violet and water resistant programme stickers suitable for outdoor use will be produced
- Project posters and brochures - Project posters and brochures will be produced as needed
- T-shirts and hats - At appropriate occasions, overall programme as well as national project T-shirts and hats will be produced and distributed to stakeholders in project countries

Countries also need to document the system they will use to manage KM and project documentation. For example, an office network drive that is backed up regularly, a Dropbox folder or a Database package.

#### 6.14 Internal communications

Internal communications refers to the national-level internal communication that will assist in keeping all national stakeholders up to date with the ACSE project. National stakeholders refer to relevant ministries, departments, agencies, and politicians, as well as the implementing partner (if relevant) and project partners. Having national stakeholders informed about the ACSE project will assist in removing barriers to implementation and increase opportunities for collaboration and in-kind contributions to be leveraged. A template for an Internal Communications Plan is provided in as an annex to the PDD template (Annex 4.6).

#### 6.15 Monitoring and Evaluation

PDDs need to include a monitoring and evaluation (M&E) plan. The M&E plan should build on the project log frame, and include indicators (including gender sensitive indicators) for monitoring; outcomes, outputs, as well as risks, knowledge management, and communications. An M&E plan template is included in Annex 4.7.

The M&E plan will be used throughout the life of the project to guide the collection and reporting of monitoring data to empower management to adapt decisions/ actions during the project, as well as for mid and final evaluation.



## 6.16 M&E plan costing

To ensure the project has budgeted funds set aside for M&E, it is important to estimate the cost of all the major M&E activities. Having this level of detail will assist formulate the project budget. An M&E plan costing template is included in Annex 4.8.

### Steps to develop M&E costing template

1. Review each row in the M&E plan (Annex 4.7) and each time a new data source / data collection method (e.g. survey, field visit, water testing) is identified, write it down in a new row on the M&E budget table. It can be useful to refer to past projects to understand the time, resources and costs involved in undertaking M&E activities.
2. Add additional entries to the table to cover the cost of the required evaluation, audit and reporting activities. These will include quarterly financial reports, half-yearly technical reporting, annual financial audits, and a final evaluation and audit. A mid-term evaluation should be budgeted for all projects.

## 6.17 Timeline

PDDs must include a detailed timeline documenting the timing of all project activities. The timeline should also include key milestones that are numbered and labelled. All activities including those associated with KM, reporting and evaluation must be included. See Annex 4.8 for a sample timeline that can be replaced by your final version. A Microsoft Excel version of the timeline template is available. The Excel spread sheet contains timeline templates for either documenting the timing of activities on a quarterly or monthly basis. Alternative template formats will be accepted provided they convey the key information at the project activity level.

## 6.18 Budgets

### Detailed Budget Costing Tool

Countries are encouraged to develop a detailed project budget at the activity level that can be developed using a detailed costing tool. Where co-financing is involved, the applicant should specify if the co-financing has been secured or is still being negotiated.

The detailed budget should be fully inclusive of monitoring and evaluation, reporting, knowledge management, financial audits, communication and project management costs. The M&E costing template and knowledge management budget column should be used to help populate the detailed budget. The detailed budget can be created in local currency or EUROS.

Each budget line item must be categorised into one of GIZ's 6 key financial cost categories. A description of these cost categories and some example budget line items are provided below (Table 4).

Costs associated with the implementing partner (including project management, such as administrative and finance staff, equipment, stationery, transport, office expenses, etc.) should be included in the respective cost categories, and not as a lump sum.

**TABLE 4. GIZ COST CATEGORIES**

| <b>Cost category</b>                | <b>Description</b>   | <b>Examples</b>   |
|-------------------------------------|--|---|
| 1. Costs of materials and equipment | Any inputs or goods that need to be procured outside of a construction contract. Cost of freight for goods.<br><br>Excludes items that are included in a construction contract (item 3 below)  | Good purchased<br><br>Contracting party purchase of a laptop, Solar PV panels, cement, solar water purifiers, posts, monitoring equipment, freight costs, freight insurance, customs duty   |
| 2. Costs of third-party services    | Any services delivered by third contractors or consultants<br><br>Consultant travel costs<br><br>Excludes services that are included in construction contract (item 3 below)   | Consultant on contract to conduct vulnerability needs analysis, collect monitoring data or produce a KM product.<br><br>Technical expert to supervise PV installation, site survey by project partner, staff training by external organisation, generator maintenance   |
| 3. Construction costs               | Contracts with construction companies or other Government Departments (not NIA) that include materials, labour and services to 'construct' (build infrastructure). May also include all freight costs where part of the construction contract.<br><br>In case of any construction contract, a separate construction budget should be provided. | E.g. A contract between contracting party and a project partner to buy cement and bricks and build a shelter for new monitoring equipment.<br><br>Construction contract with a 3 <sup>rd</sup> party service provider that will result in them buying and installing a large biogas digester, including freight, insurance, customs duties etc. |
| 4. Personnel costs                  | All salaries and related personnel costs. Includes permanent and part-time staff. Includes implementing partner staff costs (project management, finance etc.). (excludes ACSE in-country coordinator that is covered by   | Salaries and on-costs<br><br>E.g. Project manager, project coordinator  |

|                                       |   |   |
|---------------------------------------|---|---|
|                                       | separate financing agreement)   |   |
| 5. Travel expenses                    | <p>Travel expenses for project implementation staff (incl. national staff, in-country coordinator, counterparts, and implementing partner staff)</p> <p>Travel expenses of external consultants, should be included in category 2 (as such expenses are built into the third-party contract).</p> | <p>Taxi, boat hire or ferry fare, airfares, per diems, accommodation</p> <p>Local rates should be used.</p> |
| 6. Operating and administrative costs | <p>Running costs of the project</p> <p>Any operating cost related to the in-country coordinator, other project staff, and implementing partner.</p>   | <p>Fuel, stationary, office rent, electricity, internet, telephone, bank fees</p>                           |

**The detailed budget should include contingencies at the activity level that take into consideration the uncertainty of costing, risk level of the activity, and fluctuations in exchange rate between Euros and the national currency.**

A detailed budget costing tool is provided in Annex 4.10. A Microsoft Excel version of the budget template is also available. Other detailed budget templates will be accepted provided they convey the required information to demonstrate the project has been appropriately costed.

### Summary Schedule of Costs and Financing

Once the detailed project budget is completed, a Summary Schedule of Costs and Financing must also be populated. This schedule provides summary costing information based on GIZ's 6 key financial cost categories. It also documents the source of funding (own, co-financing & GIZ (ACSE)). Data to populate the schedule is automatically calculated in the "Schedule data" worksheet of the Microsoft Excel spread sheet. See Annex 4.11 for the schedule of costs and financing template to complete. Costing in the schedule **must be in EUROS** so you may need to convert local currency amounts into EUROS. Always note the exchange rate you use and allow some contingency for currency fluctuations.

In exceptional cases, an overdraft of up to 20% of each cost category is possible without special request for a re-allocation, but the overdraft has to be balanced by spending less in other cost category. If there is a need to overdraft more than 20% in one cost category, a

written request for re-allocation has to be send to GIZ. This will lead to an amendment of the contract. However, an overdraft of the total budget is NOT possible.

**The Summary schedule should be denominated in Euros.**

## 7 Stage 3 - Establishing project management

Upon conclusion of the MoU, an In-Country Coordinator can be recruited. Once the MoU is concluded and the PDD approved, a financing agreement for the implementation of the project can be undertaken with GIZ.

Where the Contracting Party has not signed a contract or financing agreement with GIZ before, GIZ and EU rules and regulations prescribe a case-by-case review.

Financing agreement will be signed within a maximum of three months of PDD approval and the aforementioned financial review.

Financing agreements will be signed by GIZ, the contracting party and the country.

### 7.1 Operative arrangements

#### 7.1.1 Roles and responsibilities of GIZ

GIZ has been tasked by the EU with the primary responsibility for administering the EU-GIZ Adapting to Climate Change and Sustainable Energy (ACSE) programme on behalf of the participating fifteen countries. It will provide technical support to assist Governments to meet the objectives of the EU-GIZ ACSE programme. In consultation with Governments and other stakeholders, GIZ will provide technical advice, support for national coordination, and funds for agreed climate change adaptation and sustainable energy projects, to be carried out by Governments, or entities operating on behalf of the Governments.

Subject to approval of overall project work plans and budgets by the EU, GIZ will be responsible for the release of project funding in EURO currency. The nominated bank will convert funds into the currency of the country. The release of all approved funding, in quarterly tranches, to the Government, or where appropriate to implementing partner, are conditional on the Government meeting and maintaining the terms set out in the MoU under Roles and Responsibilities of Government, and the signing of a separate Financing Agreement with GIZ.

#### 7.1.2 Roles and responsibilities of governments

The Government will nominate a suitably experienced, senior national representative who will serve on the ACSE Steering Committee.

The Government will determine the most appropriate national mechanisms for oversight of the national activities, where possible using **existing** national committees. The Government

will allocate sufficient human and logistical resources for this programme and encourage other stakeholders to allocate human resources for the programme's national activities.

The Government will play a leading role in coordinating broad and inclusive national participation in the ACSE programme and in particular the identification, design, implementation and evaluation of a specific climate change adaptation and sustainable energy projects.

The Government should appoint a suitably qualified person to act as a counterpart for the ACSE programme and provide oversight/supervision of the in-country coordinator. The cost for the counterpart position is considered as a contribution of the Government to the financing agreement.

### **National in-country coordinator**

Recognising the existing constraints for the coordination of climate change and/or sustainable energy activities within government, provision has been made within the ACSE project to provide support for a national in-country coordinator. The role of the in-country coordinator will be to coordinate and facilitate the implementation of the ACSE climate change and sustainable energy activities; primarily supporting **financial and technical reporting**.

Funds to employ a national in-country coordinator, additional to the country allocation, of up to 70.000 Euros are available per country for the project period. GIZ has drafted generic In-Country Coordinator Terms of Reference (ToR, see Annex 6). The recruitment could take different forms, depending on a country's specific needs:

- The coordinator will be employed by GIZ directly and reports to the Government;
- The coordinator will be employed by the Government with funds provided out of a dedicated In Country Coordinator Financing Agreement with GIZ;
- The Government would conclude a financing agreement with GIZ to supplement an existing government employee's salary so that he/she could undertake the national in-country coordinator role.

Whichever modality is selected, terms and conditions should be aligned to Government pay scales, rules and regulations. The period of employment would not exceed 31 August 2018. Specific terms of reference for the individual will need to be agreed by Governments and GIZ. A draft template for the terms of reference of the national in-country coordinator will be provided and can be amended to a country's requirements.

#### **7.1.3 Regional steering committee**

A Regional Steering Committee (see Annex 3) has been established to provide overall guidance and assessment of project activities and work plans and specifically on:

- the design of the project activities;

- the planning, coordination, facilitation and implementation of the ACSE programme;
- addressing any potential gaps in the existing and proposed activities and reach consensus on how these may be addressed;
- minimising duplication with other national and regional climate change adaptation activities.

## 7.2 Financial arrangements

### 7.2.1 Special bank account

A special bank account needs to be opened on the recipient's side to handle the financial aspects of the agreement and be able to account for all transactions transparently. The recipient must provide the bank details of the special bank account to GIZ before the first disbursement. Bank statements<sup>7</sup> for this special bank account are an integral part of the settlement procedure.

If country regulations do not allow the opening of a special bank account, GIZ has to be informed in a written way by the contracting party. In this case, a special waiver can be issued by GIZ head office in Germany. This process takes additional time and requires the proof of alternative financial management procedures.

### 7.2.2 Advance payments

Under financing agreements, advance payments are made to cover implementation requirements for a period of 3 months. Future payments will be made after having accounted for at least 75% of the previous quarterly payment. Templates for the settlements of the advanced payments will be attached to the contract and these must be used. Copies of vouchers for major expenses, bank statements, contracts and award procedures must be attached to the settlement documents.

### 7.2.3 Direct payments

GIZ can also pay directly to the supplier for goods and services. This procedure can be useful in case of major imports to the recipient country from another country. The contracting partner should inform GIZ in time, in case this procedure will be required (when starting the procurement process). If possible this should already be mentioned in the financing agreement. Further details on the process will be provided in due course.

### 7.2.4 Financial year

The financial year for GIZ is the calendar year January – December. In the case a country has a different financial year, this does not affect the financial reporting, as financial reports to GIZ shall be done principally on a quarterly basis.

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<sup>7</sup> Payments under the financing agreement are made in Euros. It is understood that the conversion rate from Euro to national currency applied by the national bank for the incoming payments is accepted.

### 7.2.5 Invoicing

Invoices to GIZ have to be in EURO currency according to the exchange rate of the relevant advance payment.

## 8 Stage 4 - Project implementation

- Countries (and partners) can begin implementation of projects once project management arrangements, including in-country coordinators are in place.
- Countries will be able to access 5 regional Technical Advisers employed by GIZ. The advisors will have expertise in:
  - Food Security and Livelihoods
  - Integrated coastal management
  - Infrastructure
  - Energy
  - Social scientist
- During the implementation phase, the contracting party will be responsible for on-going technical and financial monitoring and reporting.
- The contracting party must report project progress, issues and risks to the established national steering committee.
- The contracting party must also produce half-yearly technical progress reports by comparing the monitoring of log frame indicators against targets set out in the log frame. A template for half-yearly technical progress reports can be found in Annex 7. These reports must be submitted to GIZ.
- An internal annual financial audit is required.

## 9 Stage 5 - Evaluation

### 9.1 Mid-term evaluation

The EU-GIZ ACSE programme and all CCA and SE projects implemented by the countries will be subject to a mid-term evaluation for projects **exceeding 24 months**. This evaluation will report against progress on outcomes, and provide feedback into and improve project implementation.

A **financial audit** is also required as part of the mid-term evaluation. The mid-term evaluation and financial audit can be conducted internally for project less than €500,000. GIZ reserves the right to request an external evaluation and financial audit. Projects greater than €500,000 require an external evaluation and financial audit. The cost of the mid-term evaluation and mid-term financial audit should be included in the project budget.

### 9.2 Final evaluation

A final evaluation and financial audit is required for all projects. This must be undertaken externally.

The cost of final evaluation and final financial audit need to be incorporated into the project budget. This should be included into all projects irrespective of their planned duration.

## 10 Tentative timetable

A tentative timetable is given below. The timetable will be further developed and refined after the inception workshop.

| Item   | Organisation         | Date   |
|--|----------------------|--|
| Signing of delegation agreement between EU and GIZ                                     | EU and GIZ           | 11 <sup>th</sup> April 2014  |
| Notification of NAOs on EU-GIZ ACSE programme  | GIZ                  | 16 <sup>th</sup> April 2014  |
| Letter of invitation to inception workshop to CC and energy focal points               | GIZ                  | 1 <sup>st</sup> May 2014   |
| Regional Inception Workshop, Fiji  | GIZ                  | 29-30 <sup>th</sup> May 2014                                       |
| Formal invitation for concept notes  | GIZ                  | 6 <sup>th</sup> June 2014  |
| Deadline for concept note submission   | PACPs                | 18 <sup>th</sup> July 2014   |
| Notification of approved concept notes and request for PDDs                            | GIZ                  | 18 <sup>th</sup> August 2014                                       |
| Invitation to sub-regional workshops   | GIZ                  | 18 <sup>th</sup> August 2014                                       |
| Contracting of external support for PDD development (upon countries' request)          | GIZ                  | 18 <sup>th</sup> August 2014 – 14 <sup>th</sup> September 2014     |
| Sub-regional workshops   | GIZ                  | Between 29 <sup>th</sup> October and 5 <sup>th</sup> November 2014 |
| Conclusion of MoU  | PACPs and GIZ        | Latest by 30 April 2015  |
| Deadline for PDD submission  | PACPs                | 30 April 2015  |
| Notification of approval of PDDs   | GIZ                  | April – July 2015  |
| Conclusion of financing agreements for project implementation                          | GIZ                  | ~3 months from date of PDD approval                                |
| Project Implementation begins  | PACPs (and partners) | Within 1 month signing of financing agreement                      |
| Ongoing project implementation including technical and financial reporting, monitoring | PACPs (and partners) | 1 to 3 years (Projects must end August 2018)                       |



|   |                      |  |
|---|----------------------|--|
| and evaluation  |                      | Mid-term evaluation around 18 months into implementation period for projects >24 months. |
| Ongoing technical assistance: 15 in-country coordinators, 5 technical advisors based in GIZ | GIZ                  | 1 to 3 years   |
| Final evaluation  | PACPs (and partners) | August 2018  |

**Where country concept notes or PDDs are not submitted within the necessary deadline as outlined above, the Steering Committee will re-distribute funds to ensure use of all funds within the deadline established by the EU.**

## 11 GIZ contact details

|  |   |
|--|---|
| <b>EU-GIZ ACSE Programme Director</b><br><br>Dr. Wulf Killmann<br>PO Box 14041<br>Plaza 1, Level 3, Module 2<br>Downtown Boulevard<br>33 Ellery Street<br>Suva<br>Fiji Islands<br>Tel: +679 3305982; 3305983; 3307543<br>Fax: +679 3315446<br>Mail: <a href="mailto:Wulf.Killmann@giz.de">Wulf.Killmann@giz.de</a> | <b>EU-GIZ ACSE Programme Coordinator</b><br><br>Mr Alvaro Luna<br>PO Box 14041<br>Plaza 1, Level 3, Module 2<br>Downtown Boulevard<br>33 Ellery Street<br>Suva<br>Fiji Islands<br>Tel: (TBC)<br>Fax: +679 3315446<br>Mail: <a href="mailto:alvaro.luna@giz.de">alvaro.luna@giz.de</a> |
| <b>EU-GIZ ACSE Finance Manager</b><br><br>Ms Beate Herrmann<br>PO Box 14041<br>Plaza 1, Level 3, Module 2<br>Downtown Boulevard<br>33 Ellery Street<br>Suva<br>Fiji Islands<br>Tel: +679 3305982; 3305983; 3307543<br>Fax: +679 3315446<br>Mail: <a href="mailto:Beate.Herrmann@giz.de">Beate.Herrmann@giz.de</a>  |   |

## 12 Annex 1 - Regional Assessment Board TOR

The Steering Committee will appoint a joint Regional Assessment Board (RAB).

### **Objective**

Assessment of project design document (PDDs) submitted by PACPs in the fields of climate change adaptation (CCA) and sustainable energy (SE).

### **Tasks**

1. Assess and weigh PDDs submitted against given criteria;
2. Provide feedback to countries and make requests for specific improvements in the PDDs where needed;
3. Agree on PDDs selected and rejected.

### **Structure and Membership for CCA**

- 2 independent external expert on CCA;
- 2 independent external expert on SE;
- 1 representative of the European Union;
- 1 representative of the RAO;
- 1 representative of GIZ;
- Secretariat from GIZ.

### **Meetings**

The assessments by the Regional Assessment Board will be carried out electronically/remotely (via email and Skype), with the support of GIZ. If necessary, the assessors will meet in Fiji to agree on the proposals approved for implementation. For meetings in person, a quorum of at least 5 members is required.

## 13 Annex 2 - Sample MoU to be signed with countries



[Coat of Arms]

### MEMORANDUM OF UNDERSTANDING

Between

DEUTSCHE GESELLSCHAFT FÜR INTERNATIONALE ZUSAMMENARBEIT (GIZ) GMBH

And

THE GOVERNMENT OF XX

TO IMPLEMENT The

EU-GIZ- ADAPTING TO CLIMATE CHANGE AND SUSTAINABLE ENERGY (ACSE) PROGRAMME

Draft 20.10.2014

PREAMBLE

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, hereafter referred to as "GIZ" and the Government of XX hereafter referred to as "Government" share a commitment to address the risks posed by climate change and climate variability, and the challenges posed through countries' dependence on fossil fuels for energy generation.

On February 27, 2014, the European Union (hereafter referred to as EU) and the Pacific Islands Forum (hereafter referred to as PIFS) in its capacity as the Regional Authorising Officer (hereafter referred to as RAO) signed an agreement regarding the regional programme "*Adapting to Climate Change and Sustainable Energy*" (hereafter referred to as ACSE). On April 11, 2014, the EU signed a Delegation Agreement with GIZ on the implementation of the EU- GIZ component of the regional programme *Adapting to Climate Change and Sustainable Energy* (hereafter referred to as EU- GIZ- ACSE).

In consideration of the aforementioned premises, the parties have agreed as follows.

## ARTICLE I

### PURPOSE and SCOPE

This Letter of Agreement sets out the roles and responsibilities and expresses the commitment of the GIZ and the Government in working together to implement the European Union (EU) funded EU-GIZ Adapting to Climate Change and Sustainable (EU-GIZ-ACSE) Programme to support the governments of fifteen Pacific ACP countries (PACPs), namely Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu and Vanuatu, in their efforts to tackle the adverse effects of climate change, and to enhance their energy security.

The EU- GIZ- ACSE is a 5 year regional project ending on December 31, 2018, financed by the EU under Agreement FED / 2014/ 342-553. The programme purpose is to **strengthen the PACPs' capacity to adapt to the adverse effects of climate change and to enhance their energy security** at national, provincial and local/community level.

This will be achieved through supporting government institutional efforts and empowering communities to increase their self-reliance and their ability to cope with the effects of climate change, through appropriate interventions, e.g., in agriculture and coastal fishery, water and sanitation and energy.

## ARTICLE II

### OPERATIVE ARRANGEMENTS

#### ROLES AND RESPONSIBILITIES OF GIZ

GIZ will have primary responsibility for administering the project on behalf of the participating fifteen countries and will provide technical support to assist the **Government of [REDACTED]** to meet the EU-GIZ- ACSE objectives. In consultation with the **Government of [REDACTED]** and other stakeholders, GIZ will provide technical advice, support for national coordination, and fund agreed climate change adaptation and sustainable energy projects in **[REDACTED]** to be carried out by the Government of **[REDACTED]**, or implementing partners operating on behalf of the Government of **[REDACTED]**.

GIZ will be responsible for the release of project funding in the currency of the country for national coordination and agreed climate change adaptation and sustainable energy projects to the Government, or where appropriate to the implementing partner entrusted by the Government, according to agreed in-country needs and approved Project Design Documents. The release of all approved funding to the Government, or where appropriate to implementing partner, are conditional on the Government meeting and maintaining the

terms set out in this Letter of Agreement under Roles and Responsibilities of Government, and the signing of a separate Financing Agreement with GIZ.

As part of the delivery of the EU-GIZ- ACSE, GIZ has established five Climate Change Advisor positions, to assist countries with the coordination and delivery of all activities relating to the EU-GIZ-ACSE programme.

In summary, GIZ will provide the following support:

1. Technical advice and oversight for the implementation of the agreed climate change adaptation and sustainable energy projects.
2. Training workshops, regional and national consultations relating to climate change adaptation and sustainable energy.
3. Direct financial assistance to the Government to support the coordination of the EU-GIZ-ACSE Programme within the country.
4. Funds for climate change adaptation and sustainable energy projects that will increase {Country's} resilience to climate change and /or enhance its energy security. Further details relating to these projects, selection criteria etc. are laid down in the Guide to the EU- GIZ ACSE (Annex 1).

## **ROLES AND RESPONSIBILITIES OF GOVERNMENT**

The Government will nominate a suitably experienced, senior national representative who will serve on the ACSE Steering Committee. The ACSE Steering Committee meets annually to provide overall guidance and assessment of project activities and work plans and specifically:

- Provide guidance and input on the design of the project activities.
- Provide guidance on the planning, coordination, facilitation and implementation of the ACSE programme.
- Address any potential gaps in the existing and proposed activities and reach consensus on how these may be addressed.
- Ensure that duplication with other national and regional climate change adaptation activities are minimised.

The Government will determine the most appropriate national mechanisms for oversight of the national activities; these may include national committees. The Government will allocate sufficient human and logistical resources for this programme and encourage other stakeholders to allocate human resources for the programme's national activities.

The Government will play a leading role in coordinating broad and inclusive national participation in the ACSE programme and in particular the identification, design,

implementation and evaluation of a specific climate change adaptation and sustainable energy projects in [REDACTED].

Where appropriate, the Government may appoint a National Climate Change Coordinator, to coordinate and facilitate the implementation of the ACSE climate change and sustainable energy activities in [REDACTED].

A template for the terms of reference is included in Annex 2.1 and may be amended according to individual country requirements.

In summary the Government will provide the following:

1. A suitable representative to serve on the Programme Steering Committee.
2. An appropriate national mechanism to coordinate the activities of the project in [REDACTED].
3. Sufficient human resources to enable [REDACTED] to receive the maximum benefit from the project.
4. Sufficient resources to ensure the successful implementation of a national climate change adaptation project.
5. And where appropriate, a national climate change coordinator.

### ARTICLE III

#### **Governance Arrangements**

This Memorandum of Understanding (hereafter referred to as MoU) will be governed by the following considerations:

1. This MoU becomes effective immediately upon its signing by the appropriate officer of each of the signatory institutions.
2. This MoU will not prevent either party from entering into similar and separate agreements with other institutions;
3. Either party may terminate this MoU by written notice to the other party; however, the MoU shall remain effective for 30 days from date of issue of such notice. Each party pledges that in the event one party wishes to exercise their right of termination, that party will provide an explanation to the other party of the reason for termination and provide an opportunity for discussion to determine if the reasons for termination can be addressed in a way to enable continuation of this MoU;
4. Disputes and disagreements relating to this MoU will be resolved through negotiations between GIZ and the Government.
5. If established national goals are not achieved in reasonable timeframes and without justification, funding of national activities could be suspended and reallocated to other participating countries.

## ARTICLE IV

### **Confidentiality and Intellectual Property**

Any exchange of information between GIZ and Government under this MoU, whether in relation to scientific research, financial management or other information will be subject to any reasonable conditions of confidentiality that the party disclosing the information wishes to impose, notwithstanding other areas of cooperation stated in this MoU. Any publication arising out of joint research and work undertaken by the GIZ and Government will be guided by the principles of publication and information sharing of the leading partner of that activity.

The intellectual property gained by reason of the collaboration will not be shared except by mutual agreement of both parties. Information previously being intellectual property of a respective organization remains so. This MoU does not influence the terms and conditions of other partnership agreements already in place between each organization and third parties.

In the absence of any specific agreement to the contrary, GIZ and the Government hereby acknowledge that this MoU will not act as a licence for either party to exercise the other's intellectual property rights in relation to know-how, materials or technology.

### **CONCLUSION AND SIGNATURE**

Successful implementation of this Letter of Agreement depends not upon the operation of law as an enforcement mechanism but upon the motivation and commitment of GIZ and the Government to maximise the opportunities provided within the framework of the EU-GIZ-ACSE Programme.

Signed:

For and on Behalf of the GIZ

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Dr. Wulf Killmann, Programme Director EU-GIZ-ACSE

Date: \_\_\_\_\_



On Behalf of the Government of \_\_\_\_\_

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Secretary of \_\_\_\_\_, Ministry of \_\_\_\_\_

Date: \_\_\_\_\_

## **Annex 2.1: Support for National Coordination**

Recognising the existing constraints for the coordination of climate change and/or sustainable energy activities within government, provision has been made within this project to provide support for national coordination and project management. This could take different forms depending on a country's specific needs, examples include:

- Financial assistance could be provided to support a national Climate Change Coordinator who would be employed by government and would have as one of his/her main responsibilities the coordination of the EU-GIZ- ACSE activities in [REDACTED]
- Alternatively, funding could be provided to supplement an existing government employee's salary so that he/she could undertake the coordination of the EU-GIZ- ACSE and other climate change and sustainable energy activities in country.
- Other modalities could also be considered.

Whichever modality is selected it would be necessary for the individual to be recruited and employed by the Government, and subject to Government's pay scales, rules and regulations. The period of employment would not exceed 31 August 2018. Specific terms of reference for the individual will need to be agreed by the Government of [REDACTED] and GIZ. A template for the terms of reference of a National Climate Change and/or Sustainable Energy Coordinator are shown below, these will need to be amended to a country's requirements.

Up to €70,000 are available as support for national coordination in each partner country. The allocation could also include the cost of equipment e.g. computer hardware.

# 14 Annex 3 -Regional Steering Committee TOR

## Adapting to Climate Change and Sustainable Energy (ACSE) programme

### Regional Steering Committee

#### Draft Terms of Reference

An overarching Steering Committee is set up for the whole ACSE programme:

- Component 1- EU-GIZ ACSE;
- Component 2- Energy Catalytic Fund; and
- Component 3- TVET.

#### Objective

Oversight of the ACSE Programme to ensure that the programme objectives and results are achieved.

#### Membership

Membership of the steering committee will be at the Head of Department or CEO/ Permanent Secretary level (decision-making level). The following membership is proposed:

- At least one representative of each of the 15 Pacific ACP (PACP) countries;
- suggestion: a rotational representation of countries from the CC/SE/education sector
- can be determined at the national level
- 1 representative each from SPC, SPREP and USP;
- 1 representative of the European Union (member of all sessions);
- 1 representative of PIFS (the RAO) (member of all sessions)
- 1 representative of ADB
- 1 representative of NZ MFAT
- 1 representative of GIZ

Representatives of other relevant CROP agencies, NGOs, development partners and other interested regional organisations may be invited as observers if and when required.

#### Quorum

At least 60% of 15 Pacific ACP country representatives

## 15 Annex 4 - PDD template (and sub-annexes)

### General guidance and instructions

1. The template is the same for CCA or SE or combined projects and should follow the structure given below;
2. Project Design Documents (PDDs) will be assessed based on the criteria and points system provided in the Guide;
3. The questions included as a checklist in each section are the same as those that will be used in the assessment of the PDDs;
4. The assessment is based on a one question = one point scoring principle but the assessors may also use their discretion;
5. Include answers to all questions in the PDD unless instructed otherwise;
6. Guidance on length of response for each section is given in the template to indicate how much detail is needed to answer each question;
7. The completed PDD submission form should be no longer than 26 pages, plus annexes.
8. **Once the sections have been filled in, please delete the instructions in blue text).**

## Project Design Document Cover Page

*Please place crosses in the appropriate boxes*

| Project Summary   |  |   |   |
|---|--|---|---|
| <b>Project No.</b>  | (For Official Use. Do not write anything here)   |   |   |
| <b>Project Title:</b>   | <i>This can be copied from your concept note</i>   |   |   |
| <b>Applicant (ies):</b>   | <i>The name of the country applying for funding. For joint proposals, list all countries involved.</i>   |   |   |
| <b>Project focus (select all that apply):</b>   | <input type="checkbox"/> Climate change adaptation<br><input type="checkbox"/> Sustainable energy  |   |   |
| <b>Project type (select all that apply):</b>  | <input type="checkbox"/> Type 1 – 200,000 Euro maximum budget<br><input type="checkbox"/> Type 2 – Maximum budget is the country allocation<br><i>(All countries must submit at least one Type 2 project. Countries may also submit a Type 1 project which may or may not be linked to the Type 2 project. Where Type 1 and Type 2 projects are not related, separate PDDs must be submitted.)</i>   |   |   |
| <b>Sector(s): (select all that apply)</b>   | <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Solar energy<br/> <input type="checkbox"/> Other energy<br/> <input type="checkbox"/> Energy efficiency<br/> <input type="checkbox"/> Water / Sanitation<br/> <input type="checkbox"/> Food security / livestock / aquaculture / fisheries / agriculture<br/> <input type="checkbox"/> Coastal &amp; urban land use and planning<br/> <input type="checkbox"/> Integrated ridge to reef / watershed management               </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Education / TVET<br/> <input type="checkbox"/> Governance / institutional strengthening<br/> <input type="checkbox"/> Policy and planning<br/> <input type="checkbox"/> Other (Please specify)<br/> <hr style="width: 100%;"/> </td> </tr> </table> | <input type="checkbox"/> Solar energy<br><input type="checkbox"/> Other energy<br><input type="checkbox"/> Energy efficiency<br><input type="checkbox"/> Water / Sanitation<br><input type="checkbox"/> Food security / livestock / aquaculture / fisheries / agriculture<br><input type="checkbox"/> Coastal & urban land use and planning<br><input type="checkbox"/> Integrated ridge to reef / watershed management | <input type="checkbox"/> Education / TVET<br><input type="checkbox"/> Governance / institutional strengthening<br><input type="checkbox"/> Policy and planning<br><input type="checkbox"/> Other (Please specify)<br><hr style="width: 100%;"/> |
| <input type="checkbox"/> Solar energy<br><input type="checkbox"/> Other energy<br><input type="checkbox"/> Energy efficiency<br><input type="checkbox"/> Water / Sanitation<br><input type="checkbox"/> Food security / livestock / aquaculture / fisheries / agriculture<br><input type="checkbox"/> Coastal & urban land use and planning<br><input type="checkbox"/> Integrated ridge to reef / watershed management | <input type="checkbox"/> Education / TVET<br><input type="checkbox"/> Governance / institutional strengthening<br><input type="checkbox"/> Policy and planning<br><input type="checkbox"/> Other (Please specify)<br><hr style="width: 100%;"/>  |   |   |

|   |  |
|---|--|
| <b>Duration of project</b>  | <i>(x months) Note that the maximum duration for a project is 36 months</i>  |
| <b>Lead National Agency And Contact Person Details</b>  | <p><i>Government department or ministry that is responsible for coordinating climate change adaptation and/or sustainable energy projects. May be the same or different to the NIA.</i></p> <p>Name</p> <p>Position</p> <p>Organisation</p> <p>Phone</p> <p>Email</p> <p>Address</p>   |
| <b>National Implementing Agency And Contact Person Details</b>  | <p><i>Government department or ministry that is responsible for <b>technical</b> implementation of the project. This entity may be the same as or different from the Lead National Agency.</i></p> <p>Name</p> <p>Position</p> <p>Organisation</p> <p>Phone</p> <p>Email</p> <p>Address</p>  |
| <b>Contracting Party (Name of Implementation Partner <i>if relevant</i>) And Contact Person Details</b> | <p><i>This is the Party that will have contractual obligations (finance agreement) with GIZ, and will have <b>fiduciary and overall management responsibilities</b> that abide by EU and GIZ requirements. This can be a national ministry/department/agency, or an <b>implementation partner</b>.</i></p> <p><i>Countries are <b>encouraged</b> to work with an implementation partner for reasons documented in the Guide. This organisation may be a CROP agency or other regional organisation, or NGO, or private sector organisation that can meet the fiduciary requirements.</i></p> |

|   |  |
|---|--|
|   | <p><i>Where countries choose to work with an implementation partner they will be the contracting party.</i></p> <p><i>The implementation partner must be a legal entity registered in one of the PACPs and must not be subject to any sanctioning (EU and GIZ blacklists).</i></p> <p><i>A number of CROP agencies and regional bodies have already been successfully vetted against EU and GIZ financial, procurement and administrative requirements. See section 6.5.1 Contracting party of The Guide for a full list</i></p> <p><i>If the contracting party is a national ministry/department/agency, it will <b>need to submit</b> documentation to demonstrate it can meet the financial, procurement and administrative requirements of the EU/GIZ. This documentation <b>must be submitted at the same time as the PDD.</b></i></p> <p><b><i>Contracting party must provide evidence of their legal status.</i></b></p> <p>Name</p> <p>Position</p> <p>Organisation</p> <p>Phone</p> <p>Email</p> <p>Address</p> |
| <p><b>Project Partner(s)</b></p> <p>If applicable</p> | <p><i>List all project partners. Partners may provide advice and expertise to inform project design and implementation. Partners can take on a lead role to implement the project under the guidance of the contracting party or National Implementing Agency. Partners can be sub-contracted to deliver specific activities. This should be reflected under 3rd party services in the budget.</i></p> <p><i>Project partners may include CROP agencies (for technical advice), NGOs (technical advice and on-ground implementation), or private sector organisations (e.g. on-ground implementation such as renewable energy installers).</i></p>   |
| <p><b>National Focal Points</b></p>                   | <p>Climate Change: <i>(name, organisation, phone, email)</i></p> <p>Sustainable Energy: <i>(name, organisation, phone, email)</i></p>  |

|   |  |
|---|--|
| <b>National Authorising Officer (NAO)</b> |  |
| <b>Project Objective</b>                  | <p><i>To contribute towards ...</i></p> <p><i>You can find the objective in your completed log frame matrix (ANNEX 4.1)</i></p> <p><i>There should only be one objective. It is the broad overarching statement that should ideally refer to a National Strategic Development Plan (or related high level document).</i></p>                     |
| <b>Project Outcomes</b>                   | <p><i>You can find the project outcomes in your completed log frame matrix (ANNEX 4.1)</i></p> <p><i>You may have one or more project outcomes. Project outcomes should be Specific, Measurable, Achievable, Relevant and Time bound (SMART). If you implement your project successfully, then you should achieve your project outcomes.</i></p> |
| <b>Total project cost</b>                 | <b>XXX,XXX Euro</b>  |



## **Project Design Document – Description**

### **1. Background (max 2 page)**

*Expand on the background information provided in the concept note.*

*Note that there are separate sections in the PDD to clearly outline the problem and proposed solution. This section should be dedicated to providing background information specific to the project. The information should provide the reader with an overview of the current situation related to the sector and/or issue the project relates to. Avoid including general background information on the country(ies).*

*For climate change adaption related projects, also briefly discuss national modelling/predictions for climate change scenarios and likely impact on the sector(s).*

*For sustainable energy related projects, also include a description of the existing energy sector (sources of energy, grid-connected, stand-alone power, access, supply, demand, existing sustainable energy infrastructure).*

*Discuss and list any existing research, feasibility studies or other studies that have been conducted in the target sector(s) and what were the key findings and results relevant to this project. Each research paper or study should be clearly referenced. Where possible, include website links to relevant information.*

#### ***Have you answered these questions?***

*Has the sector(s) and issues been identified with enough detail to give an outsider a good understanding of the current situation?*

*Have the findings or recommendations of any relevant studies been considered?*

*Have the impacts of modelled climate change predications on the target sector or issue been described (for climate change adaptation projects)? For example, how will predicted average +20C temperature rise, and +.5 meter sea level risk impact upon coastal protection or food security or electricity production and consumption.*

*Has the existing energy sector been described (for sustainable energy projects)?*

## 2. Stakeholder consultation (max ½ page)

All PDD submissions should be informed by an inclusive consultation process. Initial stakeholder consultations should have been conducted to inform the concept note. Now countries are requested to conduct a **more detailed participatory consultation** with stakeholders.

Complete a stakeholder matrix documenting the consultation process (See template in Annex 4.2).

Describe in this section **the main findings** from the stakeholder consultation process. This includes the needs of the target group and beneficiaries, and the opinions (support and opposition) of key stakeholders.

Consultations should be held with, but not limited to the target group, beneficiaries, implementing partners, relevant government and non-government agencies and technical experts. It would be expected that both men and women, young and the elderly, and other vulnerable groups would be consulted in a **meaningful way**. Evidence should be provided to describe what measures were taken to seek and receive feedback from different stakeholder groups.

Highlight in the stakeholder analysis template who the proposed target groups and final beneficiaries are.

### **Have you answered these questions?**

Has a stakeholder matrix been completed?

Have all possible key stakeholders been clearly identified (including, target group, beneficiaries, vulnerable groups)?

Have stakeholders been appropriately consulted (including meaningful consultation with both genders, and different roles within the community)?

### 3. Describe the problem (max 2 pages)

*Undertake a problem analysis process with key stakeholders and develop a problem tree. **Include a problem tree diagram as an attachment** and identify the persons/stakeholders (name and role/organisation) that have contributed to the process.*

*Referring to the problem tree, clearly document in this section what the core problem is that this project intends to solve.*

*Describe the main causes of the problem. Your description of the causes should be detailed enough so that an outsider can understand why the problem exists. You do not need to specify here how you will address the causes.*

*Describe what the main immediate and intermediate effects of the problem are.*

*Projects with a Type 1 component should also outline what are the existing constraints to climate change adaptation or sustainable energy.*

*If your project has both a climate change adaptation and sustainable energy component, then you may need to develop two problem trees (one for each focus area)*

*It may be useful to refer to the Pacific Gender and Climate Change Toolkit<sup>8</sup> to ensure you consider a range of views from different stakeholders.*

#### **Have you answered these questions?**

- Has a problem tree been developed in a participatory process?*
- Is the problem(s) clearly identified?*
- Are the causes and effects of the problem(s) clearly identified?*
- Is justification given for the necessity of immediate action to address the problem?*

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<sup>8</sup> [http://www.gender-climate.org/Content/Docs/Publications/SPC\\_PacificGenderClimateChangeToolkit.pdf](http://www.gender-climate.org/Content/Docs/Publications/SPC_PacificGenderClimateChangeToolkit.pdf)

#### 4. Proposed solution (max 3 pages)

*Document the proposed solution to the problem in a log frame matrix (See template in Annex 4.1). The log frame matrix should be developed with key project stakeholders. There should be a linkage between the problem, causes and effects documented in the problem tree and the activities, outputs and outcomes of the log frame matrix.*

*Describe in this section in greater detail than in the log frame matrix:*

*- **Objective:** This is the longer term outcome that the project will contribute to. This should reflect national priorities e.g. contribute to national sustainable development strategy...*

*- **Project outcomes:** Describe the development outcomes your project will achieve. This may also include changes in behaviours, knowledge, practices, capacity, enabling environments will the project achieve. You should describe the immediate and longer term direct and indirect benefits that your project will deliver.*

*- **Outputs:** Describe how outputs will be used and who will use them and how they relate to the achievement of the project outcome(s)*

*- **Activities:** Identify and describe in detail each activity to be undertaken, indicating their sequence and interrelation and specifying where applicable the role of each partner (or associates or subcontractors) in the activities.*

*Justify why you have chosen the solution documented in the log frame matrix. You could use a multi-criteria analysis, cost benefit analysis, social/gender analysis of the problem and proposed/alternative solutions, or scoring and ranking the different solutions against a set of pre-defined criteria to evaluate alternative solutions and help justify why you selected your solution.*

*You can also justify the solution based on lessons from previous projects, technical assessments etc. If so, describe how the proposed solution has been demonstrated successfully elsewhere (nationally, regionally, internationally) in similar conditions/context to support your theory of change? Reference any evaluation reports or research to justify the selection of the proposed solution.*

*Describe how the proposed solution can be successfully implemented considering the country's constraints and limitations.*

*Describe the measures put in place to address the constraints. This may involve activities from a Type 1 project or Type 1 related activities included in a Type 2 project to create an enabling environment.*

*Submissions should demonstrate how the chosen solution promotes gender and social inclusion. This can be achieved by ensuring that the needs of men, women, the youth and elderly have been considered and that not all the benefits of the project are targeted at just*

one group. It may be useful to refer to the Pacific Gender and Climate Change Toolkit<sup>9</sup> to assist you to ensure you consider the needs of all stakeholders ensure you consider a range of views from different stakeholders.

Submissions should demonstrate how the chosen solution addresses poverty alleviation and/or the creation of sustainable livelihoods. This can be achieved by reflecting on the needs of poor or vulnerable groups identified in the stakeholder analysis and describing how the proposed solution addresses these needs.

Sustainable energy submission only should demonstrate the cost-effectiveness of the proposed solution, and where relevant the efficiency of the solution. [**Cost-effectiveness** is the extent to which the project is expected to achieve its results at a lower cost compared with alternatives. **Efficiency** is the extent to which the project is expected to convert its resources/inputs (such as funds, expertise, time, etc.) economically into results in order to achieve the maximum possible outputs, outcomes, and objective with the minimum possible inputs, e.g. number of households with electricity per thousand dollars invested]

**Have you answered these questions?**

- Has a log frame matrix been completed?
- Is there a logical sequence from activities to objectives (vertical logic)?
- Is it clear which location(s) (e.g. island, village or community) the activities will be conducted in?
- Have appropriate indicators and sources been identified and have realistic baseline and targets been set (horizontal logic)?
- Will achieving the project outcomes solve the problem documented in the Problem Analysis section?
- Have alternative solutions been considered?
- Is there sufficient evidence to justify the selection of the proposed solution (**including the chosen target location**) in comparison to alternative solutions?
- Has the project design considered and responded to local and national constraints?
- Does the project promote gender equality and social inclusion?
- Is there information on scope and scale of benefits (are both direct and indirect benefits described, as relevant)?
- (Sustainable energy only) How does the project contribute towards cost effectiveness and/or efficiency in the energy sector?

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<sup>9</sup> [http://www.gender-climate.org/Content/Docs/Publications/SPC\\_PacificGenderClimateChangeToolkit.pdf](http://www.gender-climate.org/Content/Docs/Publications/SPC_PacificGenderClimateChangeToolkit.pdf)



**RELEVANCE**

**5. Alignment to national priorities (max ¾ page)**

*Describe how the project responds to national development policies, strategies and/or goals and national CCA and/or SE sectoral policies. The project must respond to at least one national policy/plan priority area. This alignment should help justify the immediate need for action.*

*Countries should respond to this section by completing a table similar to that below*

| <b>National and sector policies, strategies, action plan or goals.</b>   | <b>Project alignment</b>  |
|--|---|
| <i>Name and briefly describe each national policy, strategy, action plan and/or sectorial policy related to this project (1 paragraph)</i> | <i>Describe how the project is aligned with the relevant policy, strategy, plan or goal</i> |
|  |   |
|  |   |
|  |   |

***Have you answered these questions?***

*Is there a clear description how the project aligns to national development policies/strategies/plans etc. and sectoral policies?*

*Is justification provided for immediate action based on priorities outlined within national documents?*

**6. Alignment to ACSE priorities**

***Refer to Annex 4.3 Project Alignment to ACSE Objectives and Indicators. Complete the alignment table.***

*Are one of more project outcomes aligned with one of the ACSE outcomes?*

*Are project indicators aligned to all of the mandatory ACSE indicators?*

**7. Complementarity (max 1 page)**

*Briefly describe complementarity of this project to other programmes, projects and initiatives nationally that relate to the same sector or problem being considered. This includes building on a previous project / experiences, or filling gaps. Please provide details in the table below.*

| <b>Existing or planned programmes, projects and initiatives at the national level</b>   | <b>Complementarity / Lessons</b>  |
|---|---|
| <p><i>List ALL relevant programmes, projects and initiatives in the same sector. Briefly state the project’s objective and scope.</i></p> <p><i>The list may also include project planned for the near future (clearly labeled as a Future Project, and note what stage of planning it is in e.g. submitted for funding, funded but in final design stage etc.)</i></p> | <p><i>Describe how this project complements the existing programme, project or initiative and/or fills in gaps. Does the project build on a previous project / experiences? Does it replicate or scale up an existing initiative? Does it lay groundwork to assist other initiatives?</i></p> |
|   |   |
|   |   |
|   |   |
|   |   |
|   |   |
|   |   |

- Have other existing or planned projects/programmes been identified?*
- Is it clear how the proposed project avoids duplication and builds/complements existing and planned work (if relevant)?*



## 8. Social and Economic Impacts (max ½ page)

*Identify any positive or negative social and/or economic impacts that may arise from your project's implementation (e.g. additional workload for specific groups or livelihoods creation opportunities). Describe how the project may affect the workload of different stakeholders and any gender differentiated impacts. Describe any financial costs that different stakeholders will be expected to bear. Please detail any measures that aim to address these impacts in the risk matrix.*

*If you don't believe your project will produce any negative social or economic impacts then please explain why you think this is the case.*

*Have negative and positive social and economic impacts been clearly identified or is there a clear explanation of why there are no negative economic and social risks?*

*Have measures to address negative social and economic impacts been documented in the risk matrix and integrated into the project design? Have measure to take advantage of positive impacts been considered?*

*Have the impacts on various stakeholders (gender) been considered?*

## 9. Environmental Impacts (max ½ page)

*Identify any positive or negative environmental impacts that may arise from your project's implementation and/or maintenance (e.g. a sustainable approach to the life-cycle management of energy technology equipment installed in remote areas, especially to the recycling and disposal mechanisms in place for equipment at the end of its life-cycle in an environmentally-friendly manner). Environmental risks should be documented in the risk matrix.*

*Describe environmental management measures that are required.*

*Explain if national regulation requires that your project undertake an Environmental Impact Assessment (EIA). If the EIA has been conducted, then it should be attached to this submission. The submission must demonstrate how the EIA's recommendations have been considered in the proposed solution.*

*If an EIA is required, but has not yet been conducted due to the short amount of time available to develop the PDD, then conducting the EIA needs to be a leading activity in the implementation plan. GIZ reserves the right to reassess continued funding for the proposed project pending the results from the EIA and the ability for the project to accommodate the EIA recommendations and still achieve its outcomes.*

*If an EIA is not required, please justify why an EIA is not required and explain what measures are planned to reduce or eliminate any possible negative environmental impacts.*

*If you don't believe your project will produce any negative environmental impacts then please explain why you think this is the case.*

*Have any relevant negative environmental impacts and appropriate management measures been described and included in the risk matrix?*

*If the project has conducted an EIA, have the recommendations been considered in the project design? If the submission states the need to conduct an EIA, is there evidence elsewhere (log frame/ budget) that the EIA is scheduled as a project implementation activity? If the submission states that no EIA is required, is justification given for why an EIA is not required?*

## 10. Risk management

*Identify and document risks in a risk management matrix (See Annex 4.4). Assumptions in the log frame matrix can be used as a starting point; however, additional project, environmental, financial, technical risks should be added.*

- Have risks to successful implementation been identified in a risk management matrix?*
- Are there suggested measures to reduce these risks?*
- Are there contingency measures to implement should a risk occur?*

## 11. Scalability (max ½ page)

*Describe any potential for the proposed solution to be scaled up in the future. Who would benefit from the scaled up solution? If applicable, document what additional support (financial, political, technical etc.) would be required to scale up the solution.*

*It is not a mandatory requirement that the proposed solution can be scaled up; however, countries should consider the future possibilities.*

- If applicable, does the submission describe the potential to scale-up the proposed solution and specified the additional support that would be required? **If this is not relevant to the project an explanation should be provided to as to why not.***

## 12. Replicability (max ½ page)

*Describe any potential for the proposed solution to be replicated at other national or regional locations. If applicable document what additional support would be required to replicate the solution. Note any local context specific factors that may limit the ability to replicate the solution. For example, the chosen project location may have reliable solar exposure or be located in a community with existing grid-connected homes.*

*It is not a mandatory requirement that the proposed solution can be replicated; however, countries should consider the future possibilities.*

*If applicable, does the submission describe the potential to replicate the proposed solution and specified the additional support that would be required? **If this is not relevant to the project an explanation should be provided to as to why not.***

### **13. Knowledge Management (max ½ page)**

*Describe what kind of Knowledge Management (KM) system you will use to manage project documentation. For example, an office network drive that is backed up regularly, a Dropbox folder or a Database package. Describe who will be responsible for managing all the project documents and ensuring they are filed away, backed-up, accessible and that old drafts are archived. It is recommended that each project document should contain a date and version number.*

*Outline the Knowledge Management (KM) strategy for your project. KM refers to how the lessons and results from your project will be communicated to internal and external stakeholders/audiences. Your KM strategy should document your target audiences for KM, the key messages you wish to communicate, the products you will develop, delivery dates, distribution plan and estimated costing for production & sharing of the KM. Your KM strategy can be documented in Annex 4.5 Knowledge Management plan.*

*Document which agency will be responsible for the delivery of the KM plan. Consider if any specific external assistance will be required to assist develop the KM products.*

*Is the system described to manage documents sufficient to ensure safe, reliable storage and retrieval?*

*Is it clear which department and person (role) is responsible for managing the storage, back-up and archiving of project documents?*

*Does the KM plan document the target audiences, messages, KM products and modes of distribution?*

*Are sufficient costs allocated to deliver the KM plan?*

*Is it clear which agency has overall responsibility for delivering the KM plan?*

### **14. Internal Communications (max 1 paragraph)**

*This section refers to the national internal communication that will assist in keeping all national-level stakeholders up to date with the ACSE project. Having national stakeholders*

*informed about the ACSE project will assist in removing barriers to implementation and increase opportunities for collaboration and in-kind contributions to be leveraged.*

*To address this component, complete the communications plan in Annex 4.7.*

*Describe which agency will be responsible for oversight of the communications plan to ensure that set communications activities occur.*

*Does the communications plan identify key national stakeholders that should be kept informed about the ACSE project and is it clear how they will be kept informed?*

*Is it clear which agency has overall responsibility for ensuring the communications plan is implemented?*

## 15. Monitoring and Evaluation (max ¼ page)

*Document the project Monitoring and Evaluation (M&E) requirements in a monitoring and evaluation plan. (See Annex 4.7 for an M&E plan template). The existing log frame can be extended as the starting point to create the M&E plan.*

*The M&E plan should include indicators for monitoring outcomes, outputs, risks, knowledge management, and communications.*

*Document which organisation is overseeing the implementation of the M&E Plan? Outline the organisation's capacity (staff, time & financial resources) and capability (skills, equipment) to undertake the monitoring activities?*

*Review the M&E plan and create a summary M&E budget. (See Annex 4.8 for a sample M&E budget)*

*Sustainable energy projects should refer to the 'Framework For Action On Energy Security In The Pacific'<sup>10</sup> (FAESP) to determine relevant framework indicators to monitor. Countries should speak to relevant in-country departments to determine if any relevant FAESP indicators are being measured (and how frequently) so they can decide if they can leverage off existing data collection or if they need to collect this additional data.*

*Does the M&E plan contain relevant indicators to measure project progress, risks, knowledge management and communications?*

*Does the M&E budget include costs for conducting the main monitoring and evaluation activities?*

## 16. Sustainability (max 1 page)

*Explain how project benefits and outcomes will be sustained after the project is completed.*

*Your response may consider the mainstreaming of initiatives into national policies, strategies or action plans. Any projects including the procurement of infrastructure will need to describe who will take ownership of infrastructure and programmes after the project; and how the infrastructure will be maintained, what costs are involved and how maintenance work will be funded. You should seek to demonstrate that the Government will commit to recurrent budget expenditure to manage and maintain new assets and infrastructure.*

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<sup>10</sup> [http://www.spc.int/nmdi/Reports/Final\\_Report\\_Energy\\_Security\\_Indicators\\_2011.pdf](http://www.spc.int/nmdi/Reports/Final_Report_Energy_Security_Indicators_2011.pdf)

*If relevant, your response should consider the extent to which the community or target groups have ownership over the proposed solution and initiatives. Has the capacity of the target group been enhanced to take ownership?*

*If a user pays system is being introduced for cost-recovery and maintenance funding, please outline the ability of the target and vulnerable groups to pay to use the system given the anticipated system user fee.*

**Have you answered these questions?**

*Are appropriate sustainability measures included in the project?*

**Additional criteria for proposals falling under climate change adaptation:  
(Q17 only)**

**17. Adaptive capacity (max ½ page)**

*Explain how the project contributes towards increasing adaptive capacity at national and local level to respond to climate change impacts.*

*Adaptive capacity refers to the ability of an individual, community, Government or system to adapt to changes in their environment. In this instance we are interested in the capacity of individuals, government and communities to adapt to the impacts of climate change.*

*Is there evidence that the project will lead to increasing adaptive capacity to cope with climate change impacts at the national and local level?*

**Additional criteria for proposals falling under sustainable energy: (Q 18, 19)**

**18. Energy security (max ½ page)**

*Explain how the project contributes towards achieving energy security at the national level or local level. Explain the appropriateness of the energy solution, in terms of ability to supply the required demand.*

*Is there evidence that the project will contribute toward achieving energy security at the national or local level?*

*Is the energy solution appropriate in terms of the ability to supply the required demand for all stakeholders?*

**19. Energy accessibility (max ¼ page)**

*Explain how the project contributes towards increasing access to energy and/or improving energy affordability.*

*Consideration should be given to the way in which different stakeholders access energy at the household and community level.*

*How does the project contribute towards increasing access to energy for all stakeholders and/or improving energy affordability?*



## PROJECT MANAGEMENT

### 20. Steering Committee (max ½ page)

*Countries are encouraged to use an existing steering committee to supervise the project. Identify the steering committee, or whether a new one needs to be developed and why. Describe the structure and membership of the proposed project steering committee- name & current position (if known), steering committee role etc. Outline how often the committee will meet and how decisions/recommendations will be factored into project implementation.*

*Does the steering committee have representatives with appropriate expertise to advise the project?*

*Is the structure and different roles of steering committee clearly explained?*

*Explain how often the committee will meet and how decisions/recommendations will be factored into project implementation?*

### 21. Past experience of Contracting Party

*This information will be used to assess whether the Contracting Party has sufficient experience of managing/implementing projects in the same sector and of a comparable scale to the one for which a grant is being requested.*

*Provide one example of a significant project undertaken in the past three years.*

*Has one example of a past project been provided?*

*Is the role to be performed by the contracting party and the size of the project comparable to the proposed role and size of the ACSE project?*

### CONTRACTING PARTY TO COMPLETE

|  |  |
|--|--|
| <b>Project Name:</b>                           |  |
| <b>Donor / Funding agency (if applicable):</b> |  |
| <b>Total project cost:</b>                     |  |
| <b>Dates (Start – end):</b>                    |  |

|  |  |
|--|--|
| <b>Describe in detail the role of the Contracting Party (e.g. project design, project management, monitoring, evaluation, reporting, financial management)</b> |  |
|--|--|

## **22. Financial management (Contracting Party) (max ½ page)**

*1. Describe the accounting system used by the contracting party that is responsible for **overseeing** project finances and accounting.*

*2. Describe the relevant competencies of the financial officer responsible.*

*3. Provide evidence of recent financial audits for the contracting party*

*4. Provide evidence of the contracting party's annual budget and financial statements.*

*Note that some entities have previously been approved by GIZ (some CROP agencies and NGOs - see PDD Guide).*

*Does the entity responsible for overseeing financial management have a robust accounting system that is in line with international standards, and is evidence provided?*

## **23. Procurement system (Contracting Party) (max ½ page)**

*Describe the tender and contract award procedures. Document thresholds for quotation and approval requirements.*

*Attach procurement policy and related guidelines to the submission as a separate attachment.*

*Note that some entities have previously been approved by GIZ (e.g. some CROP agencies and NGOs - see PDD Guide).*

*Has the entity responsible for overseeing procurement described their procurement rules and how they are in line with GIZ and EU requirements, and is evidence provided?*

## 24. Organisational procedures (Contracting Party) (max ½ page)

*Describe the organisational procedures of the contracting party. Are established and verifiable organisational procedures in place which are appropriate to **overseeing** the project?*

*Evidence required: organisational chart, procedural manuals, working instructions, staffing of established positions, number of professional staff, number of administration and finance staff*

*Note that some entities have previously been approved by GIZ (e.g. some CROP agencies and NGOs - see PDD Guide).*

*Has the contracting party responsible for oversight of the financial, procurement and management of the project described and provided enough evidence (organisational chart, procedural manuals, working instructions, staffing of established positions, number of professional staff, number of admin and finance staff ) to satisfy GIZ's requirements?*

## 25. Timeline for planned activities

*Include a timeline for completion of the project's activities, for example a Gantt chart.*

*See Annex 4.9 for a sample timeline template. An Excel spread sheet to assist develop a timeline is available. Countries can use their own template if desired.*

*The timeline should contain the main project activities from the log frame broken down to task level. The timeline can show task timing on a monthly or quarterly level of detail. Don't forget that your activities should include the creation of knowledge management products, mid-term (if required) and final evaluation, M&E tasks and reporting as well as identifying key milestones in the project. Reflect upon past projects and be realistic with how long each task will take.*

*Project activities may need to be broken down into more detailed tasks to help ensure the accurate planning and timing of activities. Having detailed tasks will also help create an accurate budget. All key project activities must be completed before August 2018. If a detailed timeline is created, it can be used as a project plan to assist your implementation.*

*Don't forget to add some contingency (extra time) in some key project tasks that have many assumptions (risks).*

*Does the timeline include all the key project activities broken down into manageable tasks?*

*Is the timeline realistic? Is there sufficient time allocated to complete tasks and consider operational constraints such as logistics in remote regions etc.?*

## 26. Project budget

*Countries are encouraged to provide a detailed project budget at the activity level using the budget costing tool template provided. Review the timeline to ensure that all tasks have been costed.*

*Where co-financing is involved, the submission should specify if the co-financing has been secured or is still being negotiated. If co-financing is required to make the project viable, you need to describe what contingency measures are in place if co-finance funding is not secured. How will this impact on the project design?*

*The budget should be fully inclusive of monitoring and evaluation, knowledge management and communication and project management costs and costs for PDD development.*

*Describe in this section the overall project cost, co-financing required and other budget considerations. (E.g. contingency factored into uncertain costs, exchange rates used for foreign exchange)*

*See Annex 4.10 for detailed project budget costing tool template. A Microsoft Excel version of the budget template is also available.*

*Once the detailed budget is completed, countries are required to also complete the – Summary Schedule of Costs and Financing (See Annex 4.11). Refer to section ‘6.18 Budgets’ of The Guide for details on automatically calculating the values for the summary schedule using the supplied Excel Budget and timeline spread sheet.*

*Projects that involve construction contracts should also include a separate construction budget (See Annex 4.11). The construction budget should be a break-down of the ‘4. Construction costs’ line item in the Schedule of costs and financing above.*

### **Have you answered this question?**

- Is a summary schedule of costs and financing provided?*
- Is the budget realistic for the outputs expected and within the country’s allocation?*
- Does the budget include monitoring and evaluation, knowledge management and communication and project management costs and costs for PDD development?*

## 15.1 Annex 4.1 – Log frame matrix

| <b>Project Description</b> | <b>Indicator</b> | <b>Baseline</b> | <b>Target</b> | <b>Means of Verification</b> | <b>Assumptions</b> |
|----------------------------|------------------|-----------------|---------------|------------------------------|--------------------|
| <b>Objective</b>           |                  |                 |               |                              |                    |
| <b>Outcomes</b>            |                  |                 |               |                              |                    |
| <b>Outputs</b>             |                  |                 |               |                              |                    |
| <b>Activities</b>          |                  |                 |               |                              |                    |

An Excel version of the log frame will be made available to countries.

## 15.2 Annex 4.2 – Stakeholder matrix

Steps to help guide your stakeholder consultation;

1. Work with your project team to identify who the key stakeholders are. List each stakeholder in a new row in the stakeholder analysis matrix.
2. In the second column, describe how the stakeholder will be engaged and consulted. Were stakeholders provided with information before their engagement? Does the method of engagement allow stakeholders the opportunity to provide meaningful feedback into the definition of the problem and solution?
3. Use existing information and local knowledge to start filling in the table, but remember you need to validate and verify your information.
4. Decide on what method you will use to consult each stakeholder. You may choose to do a collective group or individual consultation to obtain the information. Where stakeholders have opposing views you may choose not to bring them together to avoid conflict or you may benefit from a facilitated group meeting to help find common ground. You might use a survey, an interview, a focus group, a community meeting or any other culturally appropriate method to collect the required information. Use the column headings and guiding questions in the table to help focus the questions you will ask the stakeholders.
5. At the end of the survey, interview or meeting ask the stakeholder(s) who else you should consult with and add these as new stakeholders in the table.
6. During or after the consultation, complete the row in the table for each stakeholder.
7. To engage deeply with a stakeholder, you can feedback the key information you have collected to the stakeholder. The stakeholder can then reflect upon that information and provide additional feedback or validate what you have collected is a correct reflection on the input they have provided.

### Stakeholder analysis template

| Stakeholder name and basic characteristics  | Process to engage / consult with stakeholder  | Interests in the issue or problem area. How are they affected?  | Motivation to bring about change & Capacity to change  |
|---|---|---|--|
| <p><i>Name the stakeholder</i></p> <p><i>Could be an organisation, an individual or a group of people.</i></p> <p><i>If it is a group or organisation, approximately how many people are part of the group?</i></p> <p><i>Approximately how long has the organisation been established?</i></p> <p><i>What town or village is the organisation located?</i></p> <p><i>If the stakeholder is an individual, do they work for an organisation? What is their role or position in that organisation/community?</i></p> | <p><i>How was the stakeholder engaged and consulted?</i></p> <p><i>For example, concept note 1 page summary was displayed in community noticeboard for 1 month (or advertised on radio / newspaper). 1<sup>st</sup> community meeting described the problem / proposed solution and key activities.</i></p> <p><i>Follow-up meeting held collect additional community feedback.</i></p> | <p><i>Describe how this stakeholder is impacted upon by the issue that is being discussed?</i></p> <p><i>What relationship does the stakeholder have to the issue or broad problem being considered?</i></p> <p><i>What needs does the stakeholder have in relation to the issue?</i></p> | <p><i>Describe if the stakeholder is motivated to see a change to the current state of the issue or problem? Do they want to see something change or would they be happy if things stayed the same?</i></p> <p><i>What capacity does the stakeholder have to make change happen and solve the problem? Do they have funds, staff, equipment, knowledge or skills available to assist?</i></p> <p><i>What constraints does the stakeholder have that limit their ability to change, make change happen or to benefit from the change?</i></p> <p><i>Do they have power or are they powerless? Is the stakeholder a key decision maker that you need support from?</i></p> |



### 15.3 Annex 4.3 – Project Alignment to ACSE Objectives and Indicators

Refer to the project outcomes documented in the log frame matrix. Copy relevant project outcomes from the log frame matrix into the Project Outcomes column of Table 1 below to describe which ACSE outcome(s) your project is aligned to. At least one of your project outcomes must be aligned to an ACSE outcome. Not all project outcomes need to be aligned to an ACSE outcome. Project outcomes may be aligned to ACSE outcome 1 or 2. Where one PDD has both Climate Change Adaptation and Sustainable Energy components, then some project outcomes may be aligned to ACSE outcome 1 and others project outcomes may be aligned to ACSE outcome 2.

**TABLE 1. ACSE AND PROJECT OUTCOME ALIGNMENT**

| <b>ACSE Outcomes</b>   | <b>Project Outcomes that are aligned to ACSE Outcomes</b> |
|--|---|
| <p><b>Climate Change Adaptation</b></p> <p>1. Enabling environment and communities' adaptive capacity to cope with climate change challenges, including gender specific challenges, are enhanced</p> |   |
| <p><b>Sustainable Energy</b></p> <p>2. Cost-effectiveness and efficiency of energy systems are improved and dependence on fossil fuels is reduced</p>  |   |

For each ACSE outcome that your project is aligned to you need to assign one or more project indicators to align to one or more ACSE indicators. You should write the name of your project indicator in the Project Indicators column. These project indicators may already exist in your log frame matrix, or they may need editing to align with ACSE indicators. If they do not already exist, please add them to your log frame matrix along with the indicator source and a baseline / target value. Please note that not all ACSE indicators will be relevant to your project.

Note that project indicators do not need to be an exact copy of the ACSE indicator but must reflect the type of information that needs to be collected. As such, project indicators can be considered as 'contextualised' ACSE indicators. ACSE indicators marked with a \* are mandatory and your project should have a matching indicator

### ACSE indicator alignment table

| ACSE outcome  | ACSE indicators<br>(* = mandatory)   | Project Indicators (identify project level indicators that can inform the ACSE indicators.) |
|---|--|---|
| 1. Enabling environment and communities' adaptive capacity to cope with climate change challenges, including gender specific challenges, are enhanced | CCA project implemented by 2018*   |   |
|   | National implementation partners' adaptive capacity enhanced*  |   |
|   | Number of (new or reviewed) national, provincial and local policies, strategies, plans integrating CCA |   |
|   | Number of improved infrastructure linked to the mitigation of and/or adaptation to climate change      |   |
|   | Number of households and communities benefiting from the projects*                                     |   |
|   | Number of interventions successfully replicated at national, provincial and local/community level      |   |
|   |  |   |
| 2. Cost-effectiveness and efficiency of energy systems are improved and dependence on fossil fuels is reduced   | SE project implemented by 2018*  |   |
|   | Improvement of regionally agreed energy security   |   |

|  |   |  |
|--|---|--|
|  | indicators (FAESP <sup>11</sup> ) using a 2009 baseline+*   |  |
|  | Number of households and communities benefiting from the projects*                                |  |
|  | Number of interventions successfully replicated at national, provincial and local/community level |  |
|  |   |  |

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<sup>11</sup> The Framework for Action on Energy Security for the Pacific (FAESP), its implementation plan and 36 energy security indicators were developed by the Secretariat of the Pacific Community (SPC) through a consultative process with 14 PACPs, regional agencies and other key stakeholders and were endorsed by 14 PACP Ministers for Energy in 2011. In 2012, SPC compiled the data necessary to calculate the indicators for the baseline year of 2009 and published the 2009 energy security indicators for 14 PACPs (Timor-Leste was the only PACP not included in this process). Source: [http://www.spc.int/nmdi/Reports/Final\\_Report\\_Energy\\_Security\\_Indicators\\_2011.pdf](http://www.spc.int/nmdi/Reports/Final_Report_Energy_Security_Indicators_2011.pdf)

#### 15.4 Annex 4.4 – Risk management matrix

See Section 6.7 Risk Management of The Guide for more information on completing the risk management matrix.

| # | Risk description | Risk Type <sup>12</sup> | Implications & Rating.<br>Likelihood (L) & Impact (I)<br>(1=low;5=high)  | Reduction | Contingency |
|---|------------------|-------------------------|--|-----------|-------------|
| 1 |                  |                         | <p><i>What is the impact to the project if the risk occurs? Provide a short description.</i></p> <p><i>Rate the Likelihood that the risk will occur. L= (1= low likelihood,2,3,4,5=Highly likely)</i></p> <p><i>Rate the scale of the impact on the project if the risk occurs. L= (1= low impact,2,3,4,5=high impact)</i></p> |           |             |
| 2 |                  |                         |  |           |             |

<sup>12</sup> See section 6.7 Risk Management in The Guide for a list of suggested risk type categories.

## 15.5 Annex 4.5 – Knowledge management plan

See section 6.9 Knowledge Management of The Guide for more information on completing the KM plan.

| <b>Target Audience</b>                       | <b>Key message</b>          | <b>Product</b>                            | <b>Timeframe for development</b> | <b>Expected release date</b> | <b>Mode(s) of Distribution</b>   | <b>Budget</b>  | <b>Person in Charge</b> | <b>Partners</b>       |
|--|-----------------------------|---|----------------------------------|------------------------------|--|----------------|-------------------------|-----------------------|
| <i>Example: Climate change practitioners</i> | <i>Lessons from project</i> | <i>Example: Knowledge Briefing Sheets</i> | <i>May 2014- October 2014</i>    | <i>October 31, 2014</i>      | <i>Project Website, 1000 printed copies for distribution at community and international meetings. World Environment Day.</i> | <i>\$7,000</i> | <i>Comms Specialist</i> | <i>SPC, UNDP, GIZ</i> |
|  |                             |   |                                  |                              |  |                |                         |                       |

### 15.6 Annex 4.6 – Internal communications plan

The purpose of the internal communications plan is to ensure that all Government and partner stakeholders are kept informed about the progress the project is making in the design and implementation phase. Keeping stakeholders informed helps reduce barriers to implementation and can also increase opportunities for collaboration.

| Stakeholder  | Engagement method   | Frequency   | Responsibility   |
|--|---|---|--|
| <p><i>Which internal (Government &amp; Partner) stakeholders need to be kept informed about project progress?</i></p> <p><i>Example: Minister, Secretary, Department of Works, CROP agency, Heads of Village Council</i></p> | <p><i>How will they be kept informed? (e.g. meeting, email, phone call, memo, meeting minutes, ACSE annual report, via an existing steering committee )</i></p> | <p><i>How often will they be updated on project progress? (weekly, monthly, quarterly, only if significant risk occurs etc.?)</i></p> | <p><i>Who in the project team is responsible for keeping the stakeholder updated or ensuring the ‘engagement’ occurs</i></p> |
|  |   |   |  |

## 15.7 Annex 4.7 – M&E plan

To create the M&E plan, it is encouraged that the completed log frame matrix be copied into this section of the submission. The last column (Assumptions) should be deleted and two new columns (Frequency and Responsibility) should be added to the table. The project team can decide which (if any) key activities should be monitored and assigned indicators in the M&E Plan. Assigning indicators to activities was not required in the log frame matrix. Rows for activities can be deleted unless the project team wish to also monitor at the more detailed activity level. Additional indicators need to be added to the log frame to measure project risks, KM, communications and more detailed for outcomes and outputs as required.

| <b>Description</b> | <b>Indicator</b>   | <b>Baseline</b>   | <b>Target</b>  | <b>Means of Verification</b>  | <b>Frequency</b>   | <b>Responsibility</b>   |
|--------------------|--|---|--|---|--|---|
| Objective          | <i>What indicator will you use to measure the item(s) in the description column?</i> | <i>What is the existing state / value of the indicator?</i> | <i>What is the post-project target value for the indicator?<br/>E.g. Solar PV installed and operational on 50 homes in XX village.<br/><br/>You can also include mid-point progress targets as well.<br/>E.g. 10 homes have solar PV operational by Jan 2016</i> | <i>Where is data to inform the indicator coming from? (e.g. interview, survey, project diary, field trip inspection report, meeting minutes, design document)</i> | <i>How often the data should be collected and / or at what time the data should be collected.<br/>The time could be the stage of the project (start / end / after key project event) or a specific month and</i> | <i>Who (name, role or department) is responsible for collecting the data?</i> |

|  |   |  |  |  |              |  |
|--|---|--|--|--|--------------|--|
|  |   |  |  |  | <i>year.</i> |  |
| Outcomes   |   |  |  |  |              |  |
|  |   |  |  |  |              |  |
| Outputs  |   |  |  |  |              |  |
|  |   |  |  |  |              |  |
|  |   |  |  |  |              |  |
| Activities   | <i>Whilst not required in the log frame matrix, it is encouraged that some indicators for key activities be added to the M&amp;E plan</i> |  |  |  |              |  |
|  |   |  |  |  |              |  |
| <i>OTHER indicators (you can include other indicators not directly linked to the elements in the log frame matrix. For example, indicators to measure risks that span elements or indicators to measure communications components.</i> |   |  |  |  |              |  |

An Excel version of the M&E plan will be provided.



### 15.8 Annex 4.8 – M&E costing template

See section 6.12 M&E Plan Costing of the guide for more information on completing the M&E costing template.

|   | <b>Estimated cost of M&amp;E activities (EURO)</b> |  |                           |
|---|--|--|---------------------------|
| <b>Data collection method / monitoring activity</b> | <b>Cost per activity (A)</b>                       | <b>Number of times activity required (B)</b> | <b>Total cost (A x B)</b> |
|   |  |  |                           |
|   |  |  |                           |
|   |  |  |                           |
| <b>Total M&amp;E Cost</b>                           |  |  |                           |





### 15.11 Annex 4.11 – Summary Schedule of Costs and Financing

Data to populate the schedule of costs and financing can be obtained by following the instructions in “Schedule data” worksheet in Microsoft Excel “Timeline\_and\_budget” spreadsheet. This worksheet summaries data from the Detailed Budget. All costing for the summary schedule must be in Euros.

**Schedule of costs and financing (in Euro\*)**

| Cost category<br>(if appropriate broken<br>down by measures) | Total costs | Financing        |              |  |
|--|-------------|------------------|--------------|--|
|  |             | by the Recipient |              | from the financial<br>contribution by<br>the GIZ (ACSE<br>funds) |
|  |             | Own<br>input     | Co-financing |  |
| 1. Costs of materials<br>and equipment                       |             |                  |              |  |
| 2. Costs of third-party<br>services                          |             |                  |              |  |
| 3. Construction costs  |             |                  |              |  |
| 4. Personnel costs   |             |                  |              |  |
| 5. Travel expenses   |             |                  |              |  |
| 6. Operating and<br>administrative costs                     |             |                  |              |  |
|  |             |                  |              |  |
| <b>Total</b>   | 0           | 0                | 0            | 0  |

Projects that involve construction should also include a separate construction budget. The construction budget should be a break-down of the '4. Construction costs' line item in the Schedule of costs and financing above. A sample template schedule of costs and financing for the construction measures is included below.

| <b>Schedule of costs and financing for the construction measure (in Euro*)</b>   |                    |                         |                     |   |
|--|--------------------|-------------------------|---------------------|---|
| <b>Cost category</b>   | <b>Total costs</b> | <b>Financing</b>        |                     |   |
|  |                    | <b>by the Recipient</b> |                     | <b>from the financial contribution by the GIZ</b> |
|  |                    | <b>Own input</b>        | <b>Co-financing</b> |   |
| <b>1</b>   | <b>2</b>           | <b>3</b>                | <b>4</b>            | <b>5</b>  |
| 1. Cost of real estate<br>(Construction plot)                                    |                    |                         |                     |   |
| 2. Site development costs (water, sewerage, electricity) up to property boundary |                    |                         |                     |   |
| 3. Cost of building construction   |                    |                         |                     |   |
| 4. Cost of furniture and equipment   |                    |                         |                     |   |
| 5. Cost of planning and site management  |                    |                         |                     |   |
| 6. Summary supplementary measures  |                    |                         |                     |   |
| <b>Total</b>   |                    |                         |                     |   |

## 16 Annex 5 - PDD assessment criteria

The PDDs should demonstrate that they meet the following criteria:

### General criteria

- The proposal should be within the country allocation. If a country is submitting two proposals then the combined total for the two proposals must not exceed the country allocation;
- The proposal should not exceed 26 pages in length, plus annexes;
- The proposal should be achievable within the timeframe (maximum 36 months).

### Technical criteria

- The proposal should include a detailed logical framework;
- The proposal development process must include comprehensive consultations with relevant stakeholders and beneficiaries (inclusive/participatory consultation process);
- The proposal should include strategies for mainstreaming the identified measures into the national development and sector planning and monitoring context;
- The proposal must be in line with national and relevant sectoral priorities;
- The problem and its causes are identified, analysed and understood and clearly elaborated;
- The solution proposed is feasible and takes into account the country's constraints and particular circumstances;
- There is a logical theory of change from outputs to outcomes;
- The proposal integrates strategy for long-term sustainability of the action beyond the project duration;
- The proposal includes measures that promote gender and social inclusion;
- The proposal promotes poverty alleviation and/or sustainable livelihoods;
- Proposals targeting vulnerable groups are encouraged;

- The proposal has no negative impacts on the environment or shows how negative impacts will be reduced (if an Environmental Impact Assessment is obligatory, this must be incorporated within the project design);
- The proposal does not compete or conflict with current or planned development projects;
- Proposals building upon or complementary to other development measures are encouraged;
- The proposal has potential to be replicated;
- Multi-country/joint proposals promoting south-south collaboration are encouraged;
- Where appropriate, the PDD should include a procurement plan;
- The indicated lead national agency / implementing partner (s) (if relevant) must demonstrate the technical capacity to manage, implement and monitor the project.

#### **Financial and administrative criteria**

- The lead national agency or implementing partner(s) (if relevant) must be a legal entity registered in one of the PACPs and must not be subject to any sanctioning (EU and GIZ blacklists);
- The lead national agency or implementing partner (s) (if relevant) must have an appropriate accounting system with qualified personnel, meeting national standards, and international accounting standards, in particular in line with GIZ and EU financial procedures. This will be checked through submission of annual budget and annual financial statements, annual sales and implemented budgets for the past three years, comparison with level of planned financing;
- The contracting partner (national entity or implementing partner) must have established and verifiable organisation procedures which are appropriate to their tasks. This will be checked using organisation chart, procedural manuals, working instructions, staffing of established positions, number of professional staff, number of admin and finance staff;
- Procurement rules have to be submitted for assessment against GIZ and EU requirements;
- The extent and quality of the financial and administrative management of earlier or ongoing financing, particularly by the European Union, will also be assessed.

#### **Additional criteria for proposals falling under climate change adaptation:**

- The proposal must contribute to adaptive capacity at local level and target vulnerable groups;

- The proposal must demonstrate that existing information on risks and vulnerabilities have informed the problem analysis and proposed solution or include a vulnerability assessment in its approach;

**Additional criteria for proposals falling under sustainable energy:**

- The proposal should contribute to increased national energy security;
- The proposal should contribute to energy access and/or improved energy affordability;
- The proposal should contribute to increased cost effectiveness and/or efficiency of the energy sector.



## SCORING CRITERIA FOR PDDs

| Item   | Description   | Reviewer comments | Score         |
|--|---|-------------------|---------------|
| <b>General</b>   | <b>Note: Countries must score a 'yes' for all questions</b>   |                   | <b>Yes/No</b> |
| Project type   | (If relevant) Type 1 project also has a Type 2 submission   |                   | Yes/No        |
| Sector(s)  | Sector is selected  |                   | Yes/No        |
| Timeframe  | Timeline of max. 36 months  |                   | Yes/No        |
| Contracting party (implementation partner named if relevant) | Documentation to demonstrate meeting EU/GIZ requirements provided if an 'implementation partner' that has already been vetted is not used |                   | Yes/No        |
| Lead National Agency identified                              | Details provided  |                   | Yes/No        |
| National Implementing Agency identified                      | Details provided  |                   | Yes/No        |
| Length of concept note                                       | Maximum length of 4 pages   |                   | Yes/No        |
| Signatures   | Signed by Contracting Party, National Implementing Agency, National Focal Point for Energy or Climate Change                              |                   | Yes/No        |
| Approved and submitted by National Authorising Officer       | Submitted by NAO, letter of approval attached to PDD  |                   | Yes/No        |
| Budget   | Within country allocation   |                   | Yes/No        |

| Item                                 | Description   | Reviewer comments | Score      |
|--------------------------------------|---|-------------------|------------|
| <b>Research and problem analysis</b> |   |                   | <b>/10</b> |
| 1. Background                        | <p>Sufficient background information provided to justify the need for the project:</p> <ul style="list-style-type: none"> <li>• <i>Sector(s) and issues identified with enough detail to give an outsider a good understanding of the current situation</i></li> <li>• <i>Findings or recommendations of any relevant studies considered</i></li> <li>• <i>Relevant sector impacts of modelled climate change predictions summarised (for climate change adaptation projects)</i></li> <li>• <i>Existing energy sector described (for sustainable energy projects)</i></li> </ul> |                   | /3         |
| 2. Stakeholder consultation          | <p>Demonstrated stakeholder consultation in the development of the PDD:</p> <ul style="list-style-type: none"> <li>• <i>Stakeholder matrix completed</i></li> <li>• <i>All possible stakeholders clearly identified (including, target group, beneficiaries, vulnerable groups)</i></li> <li>• <i>Stakeholders appropriately consulted (including meaningful gender consultation)</i></li> </ul>  |                   | /3         |
| 3. Problem analysis                  | <p>Demonstrated problem analysis through development of a problem tree through a participatory process:</p> <ul style="list-style-type: none"> <li>• <i>Problem tree developed in a participatory process (and participants identified)</i></li> <li>• <i>Problem(s) clearly identified</i></li> <li>• <i>Causes and effects of the problem(s) identified</i></li> <li>• <i>Justification given for the necessity of immediate action to address the problem</i></li> </ul>   |                   | /4         |

| Item                  | Description  | Reviewer comments | Score      |
|-----------------------|--|-------------------|------------|
| <b>Project design</b> |  |                   | <b>/10</b> |
| 4. Proposed solution  | <p>Proposed solution (project description) demonstrates a logical approach from activities, to outputs and outcomes that will contribute to the objectives being met:</p> <ul style="list-style-type: none"> <li>• <i>Log frame matrix completed</i></li> <li>• <i>There a logical sequence from activities to objectives (vertical logic)</i></li> <li>• <i>It is clear in which location(s) (e.g. island, village or community) the activities will be conducted in</i></li> <li>• <i>Appropriate indicators and sources been identified and have realistic baseline and targets been set (horizontal logic)</i></li> <li>• <i>Achieving the project outcomes solve the problem documented in the Problem Analysis</i></li> <li>• <i>Alternative solutions considered</i></li> <li>• <i>Sufficient evidence to justify the selection of the proposed solution in comparison to alternative solutions including selection of proposed location to implement project</i></li> <li>• <i>Project design considers and responded to local and national constraints</i></li> <li>• <i>Project promote gender equality and social inclusion</i></li> <li>• <i>Information provided on scope and scale of benefits (both direct and indirect benefits, as relevant)</i></li> </ul> |                   | /10        |
|                       | <p>Sustainable energy only:</p> <ul style="list-style-type: none"> <li>• <i>Project contributes towards increased cost effectiveness and/or efficiency of the energy sector</i></li> </ul>   |                   | Yes/No/NA  |

| Item                                     | Description   | Reviewer comments | Score     |
|--|---|-------------------|-----------|
| <b>Relevance &amp; complementarity</b>   |   |                   | <b>/5</b> |
| 5. Alignment to national priorities      | Clearly shows link to national development policies, strategies, plans and how the action will contribute to sectoral policies on CCA and/or energy <ul style="list-style-type: none"> <li>• <i>Clear description of how project aligns to national development policies/strategies/plans etc. and sectoral policies</i></li> <li>• <i>Justification given for the necessity of immediate attention based on priorities outlined within national documents</i></li> </ul> |                   | /2        |
| 6. Alignment to ACSE objectives          | Alignment table completed: <ul style="list-style-type: none"> <li>• <i>One of more project outcomes aligned with one of the ACSE outcomes</i></li> <li>• <i>Project indicators aligned to all of the mandatory ACSE indicators</i></li> </ul>   |                   | /2        |
| 7. Complementarity                       | Complementarity to other projects/programmes/initiatives described: <ul style="list-style-type: none"> <li>• <i>Other existing or planned projects/programmes identified and clear how the proposed project avoids duplication and builds/complements existing and planned work</i></li> </ul>  |                   | /1        |
| <b>Risks &amp; environmental impacts</b> |   |                   | <b>/7</b> |
| 8. Risk management                       | Risks identified and reduction measures and contingencies described: <ul style="list-style-type: none"> <li>• <i>Risks to successful implementation identified in a risk management matrix</i></li> <li>• <i>Suggested measures to reduce risks described</i></li> <li>• <i>Contingency measures to implement should a risk occur described</i></li> </ul>  |                   | /3        |
| 9. Social and Economic Impacts           | Social and economic impacts that may arise from project's implementation and/or maintenance are identified and management measures described: <ul style="list-style-type: none"> <li>• <i>Relevant economic and social impacts and appropriate management measures described or a clear explanation of why there are no negative</i></li> </ul>   |                   | /2        |

| Item  | Description  | Reviewer comments | Score     |
|---|--|-------------------|-----------|
|   | <p><i>economic and social risks has been provided.</i></p> <ul style="list-style-type: none"> <li>• <i>Have the impacts on various stakeholders (gender) been considered?</i></li> </ul>   |                   |           |
| 10. Environmental impacts                               | <p>Environmental impacts that may arise from project's implementation and/or maintenance are identified and management measures described:</p> <ul style="list-style-type: none"> <li>• <i>Relevant environmental impacts and appropriate management measures described</i></li> <li>• <i>EIA provided, or added as an initial activity; or justification provided why an EIA is not required</i></li> </ul> |                   | /2        |
| <b>Scalability &amp; replicability</b>                  |  |                   | <b>/2</b> |
| 11. Scalability   | <p>Potential for project to be scaled-up is described:</p> <ul style="list-style-type: none"> <li>• <i>Potential to scale-up the proposed solution described and the additional support that would be required specified. If scale-up potential is not described, has it been justified why this is not relevant or possible?</i></li> </ul>   |                   | /1        |
| 12. Replicability                                       | <p>Potential for project to be replicated is described:</p> <ul style="list-style-type: none"> <li>• <i>Potential to replicate the proposed solution described and the additional support that would be required specified. If ability to replicate the project is not described, has it been justified why this is not relevant or possible?</i></li> </ul>   |                   | /1        |
| <b>Knowledge management and internal communications</b> |  |                   | <b>/7</b> |
| 13. Knowledge management                                | <p>Knowledge management (KM) strategy described:</p> <ul style="list-style-type: none"> <li>• <i>KM system for managing documents is clearly described and is safe and reliable</i></li> <li>• <i>A person or role within an organisation is clearly identified as being responsible for managing project documents (storage, back-up, archiving, retrieval)</i></li> </ul>                                  |                   | /5        |

| Item                        | Description   | Reviewer comments | Score |
|-----------------------------|---|-------------------|-------|
|                             | <ul style="list-style-type: none"> <li>• <i>KM plan documents the target audiences, messages, KM products and modes of distribution</i></li> <li>• <i>Sufficient costs allocated to deliver the KM plan</i></li> <li>• <i>Clear on which agency has overall responsibility for delivering the KM plan</i></li> </ul>  |                   |       |
| 14. Internal communications | <p>Internal communications plan described:</p> <ul style="list-style-type: none"> <li>• <i>Communications plan identifies key national stakeholders that should be kept informed about the ACSE project and it clear how they will be kept informed</i></li> <li>• <i>Clear on which agency has overall responsibility for ensuring the communications plan is implemented</i></li> </ul> |                   | /2    |

| Item  | Description  | Reviewer comments | Score                               |
|---|--|-------------------|-------------------------------------|
| <b>Monitoring and evaluation &amp; sustainability</b> |  |                   | <b>/3</b>                           |
| 15. Monitoring and evaluation                         | A costed monitoring and evaluation (M&E) plan that outlines data collection for outcomes, outputs, risks, knowledge management, and communications: <ul style="list-style-type: none"> <li>• <i>M&amp;E plan contains relevant indicators to measure project progress, risks, knowledge management and communications</i></li> <li>• <i>M&amp;E budget include costs for conducting the main monitoring and evaluation activities</i></li> </ul> |                   | /2                                  |
| 16. Sustainability                                    | The means to sustain the benefits and outcomes of the projects are described: <ul style="list-style-type: none"> <li>• <i>Appropriate sustainability measures included in the project</i></li> </ul>   |                   | /1                                  |
| <b>Additional criteria CCA &amp; SE</b>               | <b>Note: Countries must score a ‘yes’ where reviewers deem it relevant to the proposed project</b>   |                   | <b>Yes/No (NA if not CCA or SE)</b> |
| 17. Adaptive capacity (CCA)                           | Explains how project contributes towards increasing adaptive capacity at national and local level to respond to climate change impacts: <ul style="list-style-type: none"> <li>• <i>Evidence provided that the project will lead to increasing adaptive capacity to cope with climate change impacts at the national and local level</i></li> </ul>  |                   | Yes/No/NA                           |
| 18. Energy security (SE)                              | Explains how project contributes towards achieving energy security at the national level or local level: <ul style="list-style-type: none"> <li>• <i>Evidence provided that the project will contribute toward achieving energy security at the national or local level</i></li> <li>• <i>Energy solution appropriate in terms of the ability to supply the required demand for all target stakeholders.</i></li> </ul>                          |                   | Yes/No/NA                           |
| 19. Energy accessibility (SE)                         | Explains how the project contributes towards increasing access to energy and/or improving energy affordability: <ul style="list-style-type: none"> <li>• <i>Project contributes towards increasing access to energy for all</i></li> </ul>   |                   | Yes/No/NA                           |

| Item                          | Description  | Reviewer comments | Score     |
|-------------------------------|--|-------------------|-----------|
|                               | <i>stakeholders and/or improving energy affordability</i>  |                   |           |
| <b>Project management</b>     |  |                   | <b>/5</b> |
| 20. Steering committee        | <p>Project steering committee described:</p> <ul style="list-style-type: none"> <li>• <i>Steering committee has representatives with appropriate expertise to advise the project, structure and different roles of steering committee clearly explained, and outline of how often the committee will meet and how decisions/recommendations will be factored into project implementation</i></li> </ul>  |                   | /1        |
| 21. Past experience           | <p>Demonstrates experience by lead national agency, national implementing agency and implementation partner (if relevant) in managing/implementing comparable projects:</p> <ul style="list-style-type: none"> <li>• <i>Are details for one past project provided?</i></li> <li>• <i>Is the role to be performed by the contracting party and the size of the project comparable to the proposed role and size of the ACSE project?</i></li> </ul> |                   | /2        |
| 22. Financial management      | <p>Description of the accounting system used by the contracting party responsible for overseeing project finances and accounting:</p> <ul style="list-style-type: none"> <li>• <i>Contracting party responsible for overseeing financial management has a robust accounting system that is in line with GIZ and EU financial procedures, and evidence provided (if required)</i></li> </ul>  |                   | /1        |
| 23. Procurement system        | <p>Description of the procurement system used by the contracting party responsible for overseeing project procurement and contracting:</p> <ul style="list-style-type: none"> <li>• <i>Contracting party responsible for overseeing procurement has described how their procurement rules are in line with GIZ and EU requirements, and evidence provided (if required)</i></li> </ul>   |                   | /1        |
| 24. Organisational procedures | <p>Description of the organisational procedures used by the contracting party responsible for overseeing the project's finances, procurement, and administration:</p> <ul style="list-style-type: none"> <li>• <i>Contracting party describe organisational procedures and provides</i></li> </ul>   |                   | /1        |



| Item                         | Description   | Reviewer comments | Score      |
|------------------------------|---|-------------------|------------|
|                              | <i>evidence (organisational chart, procedural manuals, working instructions, staffing of established positions, number of professional staff, number of admin and finance staff ) to satisfy GIZ's requirements (if required)</i>   |                   |            |
| <b>Timeline &amp; budget</b> |   |                   | <b>/5</b>  |
| 25. Timeline                 | A timeline of the main project activities is provided as an annex: <ul style="list-style-type: none"> <li>• <i>The timeline includes all the key project activities broken down to tasks</i></li> <li>• <i>The timeline is realistic and provides sufficient time to complete tasks and considers operational constraints</i></li> </ul>  |                   | /2         |
| 26. Budget                   | A summary detailed budget is provided at the activity level: <ul style="list-style-type: none"> <li>• <i>Is a summary schedule of costs and financing provided?</i></li> <li>• <i>Is the budget realistic for the outputs expected and within the country's allocation?</i></li> <li>• <i>Budget includes monitoring and evaluation, knowledge management and communication and project management costs and costs for PDD development</i></li> </ul> |                   | /3         |
| <b>TOTAL</b>                 |   |                   | <b>/55</b> |

**A minimum score of 50/55 is required for PDDs to be approved. Reviewers may ask for supplementary answers or evidence where necessary or at the reviewer's discretion.**

# 17 Annex 6 - Terms of Reference for In-Country Coordinator

## Regional Programme

### Adapting to Climate Change and Sustainable Energy (ACSE)

#### 10<sup>th</sup> European Development Fund

#### Generic TOR for In-Country Coordinators

Draft 20.10.2014

### Context

Sustainable livelihoods have a high priority for Pacific Island communities and governments alike. They are central to current development policies including resource management and conservation, but also in emerging policies to meet threats such as climate change.

The European Union (EU) is therefore assisting Pacific ACP countries (PACPs)<sup>13</sup> through a new regional Programme: *Adapting to Climate Change and Sustainable Energy (ACSE)* funded by the 10<sup>th</sup> European Development Fund (EDF 10). The objectives of the ACSE programme are to enhance sustainable livelihoods in PACPs, to strengthen PACPs capacities to adapt to the adverse effects of climate change and to enhance PACPs energy security at the national, provincial and local/community levels.

The objectives will be achieved by supporting the efforts of PACPs governments and empowering communities to increase their self-reliance and their ability to cope with the effects of climate change. Support will be provided for interventions such as implementation of appropriate practices in agriculture and coastal fishery, dissemination of improved plant varieties (e.g. salt-water tolerant), securing of daily water supplies, and improving access to energy, to mention a few examples.

The ACSE Programme forms part of a broader EU engagement on climate change adaptation, sustainable energy and disaster risk management in the Pacific Island region, which includes the Global Climate Change Alliance (GCCA) programme, the BSRP, and the former B-envelope Disaster Risk Reduction project under EDF 9 .

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<sup>13</sup> Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Republic of Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu and Vanuatu

The ACSE programme has three components:

1. the *Energy Catalytic Component* (10 million Euros) which is jointly managed by the EU with the Asian Development Bank (ADB) in selected PACPs;
2. the *Technical and Vocational Education and Training (TVET) Component on sustainable energy issues* (6.1 million Euros) which is jointly managed by the EU with the Secretariat of the Pacific Community (SPC); and
3. the *Adapting to Climate Change and Sustainable Energy Component* (18.64 million Euros) which is administered by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, in close collaboration with the regional SPC-GIZ programme “Coping with Climate Change in the Pacific Island Region” (CCCPIR).

## Responsibilities

The incumbent is responsible for the provision of support to the Programme Coordinator and the Technical Advisors in order to assure efficient execution of all activities under **Component 3: Adapting to Climate Change and Sustainable Energy** as well as achievement of its objectives.

*If the assignment is mainly administrative in nature:*

The main responsibility of the incumbent is to contribute to smooth operation of the ACSE-GIZ programme through an effective and efficient support in execution of all administrative functions including accounting, inventory management, filing and record keeping.

## Qualifications

Essential minimum qualification:

- *If the assignment is technical in nature:* Bachelor's / Diploma in climate change, energy, environmental sciences, economics, engineering or a related field
- *If assignment is to be administrative/financial in nature:* Bachelor's / Diploma in accounting, financial management, management and administration or similar subjects

## Knowledge / Experience

*If assignment is technical in nature:*

- At least 2 years of working experience as project manager or coordinator or in a similar position;
- Demonstrated understanding of climate change and/or sustainable energy issues;
- Experience in an international working environment, including project and programme implementation;
- Experience in organizing and facilitating workshops and meetings, logistics, as well as preparation of documentation before and after workshops;

- Experience in maintaining and updating filing systems, including electronic filing;
- Experience in liaising with a large number of people, sending out information and exchanging information by e-mail;
- Experience preparing communication materials such as project briefing notes, media releases, website materials and other awareness raising and publicity materials;
- Experience in managing budgets for workshops and putting together acquittals of expenses;
- Demonstrated ability to be creative, innovative, persistent and resourceful – ability to solve problems as they come up;
- Demonstrated excellent oral and written communications skills;
- Excellent team building and interpersonal skills;
- Ability to work with minimal supervision.

The following would be an asset:

- Experience in EU programmes; and
- Experience working with governments, development partners and non-governmental organizations, preferably within the Pacific islands region.

*If assignment is administrative/financial in nature:*

- At least 2 years of professional working experience in a similar finance and administration position;
- Experience in an international working environment, including project and programme implementation;
- Excellent office administration and organizational skills and ability to work under minimal supervision;
- Excellent command of MS-Office;
- Experience in organizing and facilitating workshops and meetings, logistics, as well as preparation of documentation before and after workshops;
- Experience in maintaining and updating filing systems, including electronic filing;
- Experience in liaising with a large number of people, sending out information and exchanging information by e-mail;
- Experience in managing budgets for workshops and putting together acquittals of expenses;
- Demonstrated ability to be creative, innovative, persistent and resourceful – ability to solve problems as they come up;
- Demonstrated excellent oral and written communications skills
- Excellent team building and interpersonal skills.

The following would be an asset:

- Experience in finance and administration of EU programmes; and

- Experience working with governments, development partners and non-governmental organizations.

## **Key Behaviours**

All staff are expected to uphold the EU and GIZ Organisational Values and Codes of Conduct which are key behaviours forming part of the annual Performance Development:

- Environmental Leadership
- Team behaviour
- Service Delivery
- Valuing Pacific Island People
- Integrity

## **Tasks**

*If the assignment is technical in nature:*

- Facilitates sound coordination of all aspects of the implementation of project activities;
- Develops partnerships with the government institutions, bi-lateral and multi-lateral donors, private sector, civil society in the specific thematic areas based on strategic goals of the project;
- assists the Programme Coordinator and the Technical Advisors in the preparation, organisation, and implementation of meetings, workshops, and seminars as well as other events and assures its documentation (including collection of relevant information, distribution, communication with invitees, etc.)
- supports Programme Coordinator and other ACSE team members with logistical arrangements where required, such as organizing visits of project staff and consultants and coordinating activities related to procurement of the supplies and services needed to implement the project;
- facilitates the communication between the Programme Coordinator and other the ACSE team members and the in-country counterparts of the ACSE programme
- maintains a systematic filing of information (reports, letters, e-mails) in-country, and where possible follows and updates the GIZ information management and filing system;
- Researches, analyses and presents information gathered from diverse sources;
- provides support to the preparation of information papers, activity reports, presentation material, awareness-raising material, website material, press releases and other public relation products relating to ACSE activities;
- Disseminates information about the project to national stakeholders through local media;
- assists in the preparation of relevant information for collaborative activities and missions;

- Supports the collection and analysis of data and information;
- assists to assure the proper functioning and updating of the M&E of the programme
- Assists in managing workshop budgets, collects invoices & receipts and prepares acquittals where required
- liaises with ACSE finance and administration personnel where required
- performs other duties as required.

*If the assignment is administrative/financial in nature:*

- Provide support to the ACSE Programme Coordinator and Finance Officer in efficient execution of all administrative processes in the programme according to the rules and regulations of GIZ, including preparation of payment vouchers, invoices and receipts;
- Ensures administrative functions are executed in line with GIZ rules and regulations;
- Keeps abreast on rules and regulations of GIZ and new developments ;
- Ensures compliance of policies with local legislations;
- assists the Programme Coordinator and the Technical Advisors in the preparation, organisation, and implementation of meetings, workshops, and seminars as well as other events and assures its documentation (including collection of relevant information, distribution, communication with invitees, etc.)
- supports Programme Coordinator and other ACSE team members with logistical arrangements where required, such as organizing visits of project staff and consultants and coordinating activities related to procurement of the supplies and services needed to implement the project;
- facilitates the communication between the Programme Coordinator and other the ACSE team members and the in-country counterparts of the ACSE programme
- maintains a systematic filing of information (reports, letters, e-mails) in-country, and where possible follows and updates the GIZ information management and filing system;
- Disseminates information about the project to national stakeholders through local media;
- Assists in managing workshop budgets, collects invoices & receipts and prepares acquittals where required;
- liaises with ACSE finance and administration personnel where required;
- performs other duties as required.
- Liaises with other ACSE staff and external organisations for timely monthly submission of acquittals for accounting.
- Check acquittals related to Local subsidies, Financing Agreement and consultancies, documenting and discussing findings with superiors;
- Check and update spending on project activities compared to budgets provided.
- Follow up with Recipients of Local subsidy contracts, Financing Agreements and consultancies contracts on the submission of financial and technical reports as per deadlines.

- Maintain and update filing of administration and financial documents in accordance to GIZ filing structure.
- Inventory management; ensure all inventory items are properly recorded and labelled; inventory lists duly filed.

### **Change of job description**

The tasks may be reviewed and changed, as and when necessary.

### **Reports to**

Programme Coordinator ACSE

### **Duration**

X years

## 18 Annex 7 - Draft Half-Yearly technical progress report template

### Project profile

|   |  |
|---|--|
| Project name                                    |  |
| Project number                                  |  |
| Project location(s)                             |  |
| Reporting period                                |  |
| Project budget                                  |  |
| Project contact person, phone and email address |  |

### Project progress

#### Progress towards outcomes and outputs

**Outcome #1:** *State the outcome*

**Output 1.1**

**Stated:** *State the output*

**Achieved:** *State what has been achieved*

**Explanation of variance:** *Explain any difference between what was stated (what you set out to achieve) and what was actually achieved. If there was no difference, then leave this section blank.*

**Output 1.2**

**Stated:**

**Achieved:**

**Explanation of variance:**

*ETC...*

**Outcome #2:**

**Output 2.1**

**Stated:**

**Achieved:**

**Explanation of variance:**



## Major implementation issues and risks

- *List major implementation issues and risks*
- *ETC.*

## Indicator Tracking Table

See indicator tracking table (modified log frame)