

# J-CCCP Pilot Project Implementation Guide



**From  
the People of Japan**



*Empowered lives.  
Resilient nations.*

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## *1. Foreword*

### **Congratulations, your project has been approved!**

We know that you are likely wondering what your next steps are and this document has been created to guide you through the process.

In the event that we missed something, we wanted to leave you with the key contact persons for each area:

If you have technical questions, please write to:

Donna Gittens | [donna.gittens@undp.org](mailto:donna.gittens@undp.org)  
Neisha Manickchand | [neisha.manickchand@undp.org](mailto:neisha.manickchand@undp.org)  
or, the J-CCCP National Focal Point for your country

If you need reporting guidance, please write to:

Sherri Frederick | [sherri.frederick@undo.org](mailto:sherri.frederick@undo.org)

For branding and communications queries, you may write to:

Penny Bowen | [penny.bowen@undp.org](mailto:penny.bowen@undp.org)

You may also write to the Project Manager:

Yoko Ebisawa | [yoko.ebisawa@undp.org](mailto:yoko.ebisawa@undp.org)

## *2. Appraisal/Approval*

Your project has already been approved and you are therefore familiar with the approval process.

Just to re-cap, your proposal has been reviewed by the Japan-Caribbean Climate Change Partnership (J-CCCP) team, the J-CCCP Technical Advisory Group (TAG) which consists of regional experts in relevant disciplines and finally, approved by the J-CCCP Project Board or the Project Manager (with authority from the Project Board).

We know it's been a lengthy process but, it has leant to projects designed to meet national and community-level needs, as well as J-CCCP outputs.

### *3. Inception/Preparation*

#### **3.1 Notification Letter**

Following proposal approval, an email notification will be sent to the J-CCCP National Focal Point (NFP) for your country, who will share the information with you, the proponent. A letter will also be sent by the J-CCCP team via email to provide formal notification of approval of the project(s) to the designated Ministry or Country Office. Subsequent correspondence will be sent regarding the letter of agreement (LOA) and transferal and disbursement of funds. Further guidance is provided below.

#### **3.2 Confirmation Letter**

The designated Ministry or United Nations Development Programme (UNDP) Country Office in receipt of the Notification Letter will provide confirmation and agreement that the completed implementation plan will be submitted by the indicated deadline date.

#### **3.3 Project Planning Template**

To help you and the J-CCCP Project Management Unit (PMU) keep track of all project activities, we will provide you with a Project Planning Template. This template, which accompanies the Notification Letter, covers three main areas; Implementation Planning, Reporting and Procurement Planning. Each component is described briefly below:

1. The Implementation Plan- This allows you to outline all major activities, and sub- activities needed to achieve them, and their timelines. Costs for sub-activities should be provided where applicable.
2. Reporting Plan- This outlines the periods where major reports (progress reports, financial reports etc.) should be submitted to UNDP through your NFP. The PMU will complete this section for you, according to guidance provided in Section 6J (for Government and IGOs) or Section 6L (for NGOs and CBOs) of the pilot project proposal template.
3. Procurement Plan – This allows you to indicate the items/services you will need to procure for your project. In this section, you will outline the types of goods or services that you need, their expected value and the timelines for receipt of the item or start of service. It is also important to specify which organization (UNDP/ project proponent/ other) will be responsible for procuring each item.

This information will also support your pilot project monitoring and reporting activities which are described in more detail in the [Project Reporting Guidance Note](#).

### 3.4 Project Funding/ Finances

The overall J-CCCP project is administered through a Direct Implementation Modality or DIM. This means that the UNDP, through the Project Management Unit, manages all project funds. As such, there are two options available for financing pilot proposals; direct payments through UNDP or funds transferred to a third party or “Responsible Party.” A completed Project Template is needed to guide the process regardless of the financing option chosen. We have outlined each option below:

1. Direct Payment – Payment through UNDP

In this case, the PMU undertakes the procurement and payments for all goods and services on behalf of the pilot project lead. What is purchased and when it is procured is determined by the information presented in the completed Procurement Plan. Although UNDP procurement rules must be followed, all purchases are done under the direction of the pilot project lead. Specifications for items to be purchased and the scope of work for all services must be determined and approved by the pilot project proponent before the start of any UNDP procurement process.

2. Transfer of Funds – Use of a Responsible Party

The transfer of funds is undertaken when there is agreement for the pilot project lead to share or to undertake all of the responsibility for procurement themselves. To explore this option discussions are undertaken between the UNDP J-CCCP PMU and the pilot project lead to determine how this would be facilitated. This process has the following key requirements:

- a. **Financial Assessment-** Funds can only be transferred to organisations/groups whose financial and procurement procedures have been HACT<sup>1</sup> assessed. A HACT assessment is a UNDP evaluation/audit that reviews and rates the financial and procurement procedures of organisations before the transfer of funds can be considered. This process ensures that the organization’s procedures are effective and allow for the transparent and correct use of funds. The organisation or group’s procedures must be found to be of low to medium risk for fund transfer to be allowed.
- b. **Letter of Agreement-** Transfer of funds is managed through a UNDP Letter of Agreement or LOA. The LOA is a contractual agreement between UNDP and the HACT assessed party (Responsible Party) which guides the transfer and use of the pilot project funds. The LOA outlines the responsibilities of UNDP and of the “Responsible Party” as well as the timelines for the transfer of funds. It should be noted that funds are disbursed in tranches each quarter and the amount is dependent on the activities or procurement that will be undertaken in each

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<sup>1</sup> Harmonised Approach to Cash Transfers

quarter. As such, fund disbursement is guided by the completed Implementation and Procurement Plans. This agreement is reviewed and signed by the UNDP Resident Representative and Responsible Party.

- c. **Procurement Procedures-** Once funds have been transferred, the procurement of the corresponding goods and services should be done in accordance to the Responsible Party's procurement rules. For example, if the Responsible Party is a government agency or department, procurement processes must follow all government procurement rules and regulations.

After the steps above have been completed, you are invited to start reporting on the project.

### **3.5 Inception Report**

The Inception report should be submitted two weeks after submission of the Implementation and Procurement Plans.

This report is intended to capture any changes that may have to be or have been made since the implementation plan and proposal were developed. Site visits or meetings with project proponents could have been a precursor to the change and should be highlighted in this report. Any change which affects project targets, time and/or costs (scope) should be reflected here.

The requisite document which would be changed – implementation/procurement/results framework/budget – should be attached accordingly with the change highlighted. If the change is minimal, you may note the change and not necessarily attach the entire document.

This report should be completed by either the Lead Project Proponent or the NFP with assistance from the Lead Project Proponent.

See [Project Reporting Guidance Note](#) for further details on completion of the report.

## 4. Execution

### Procurement Processes

There are several standard procurement methods that can be employed for various requirements. Such methods are summarized below:

Procurement method	Contract value	Type of requirement	Method of solicitation	Type of competition
Micro-purchasing	Below US \$10,000 <i><u>*At the request of the Delegation of Procurement Authority, this can be changed</u></i>	Goods, services or simple works	Canvassing (by phone, Internet, shopping, etc.)	Limited international or national
Request for quotation	US \$5,000 to \$149,999	Goods, services or simple works	Written request for quotation	Limited international or national
Invitation to bid	US \$150,000 and above <i><u>* Does not require CAP Committee Approval. CAP Chair can approve.</u></i>	Goods or works	Advertisement in international media	Open international
Request for proposal	US \$150,000 and above	Services	Advertisement in international media	Open international
Direct contracting	Any amount within permissible circumstances	Services, goods or works	Direct invitation or negotiation	None

**Micro-purchasing/MPC-** This is a simplified method used when procuring readily available goods, standardized services and small works which do not exceed USD 10,000. This method can be undertaken by telephone inquiries, electronic browsing or local shopping (where UNDP staff physically goes to stores or shops to compare the actual prices). Steps to follow when using this method are:

- **Selection process** - There must be at least two quotations from two vendors OR justification for direct contracting if circumstances require that micro-canvassing be waived. In instances where there is only one vendor, a clear justification for such should be provided on the MPC Form. Where only one quotation was received, even though more than one vendor was contacted, clear justification must also be provided, indicating the response or lack thereof from the vendor(s). Please also indicate on the MPC form, the name or purpose of the goods/services that are being procured and the appropriate date(s) of such.
- **Minimum Documentation Required-** A fully completed MPC form, along with any supporting documentation for the good or service being procured. For goods, a quotation from the supplier and a justification memo for the goods to be procured. For services, a Terms of Reference or Direct Justification Memo is required. Templates for each of these documents can be provided by the NFP or any contact listed on page 1.
- **E-requisition & Purchase Order-** These are optional for services and small works under USD 2,500; Mandatory for all goods, services and small works over USD 2,500; Mandatory for all purchases of goods/assets over USD 1,500.

Where canvassing is done of at least two vendors, the one compliant with requirements and offering the lowest price will be awarded the contract. Where the vendor with the second lowest price offers significantly superior quality, and the price is higher by not more than 10 percent, the vendor may be selected if the budget can sufficiently cover the price difference. Superior quality refers to offers that have exceeded pre-determined requirements. It does not apply to features, qualities or characteristics not originally indicated as requirements.

**Request for Quotation (RFQ)** - This is used to procure readily available goods, services or works, or any combination thereof. A written request with a clearly described requirement is sent to a vendor, soliciting a written price quotation. A request for quotation is mandatory for contract values ranging from US \$5,000 to US \$150,000. Beyond this amount, requests for proposals or invitations to bid must be used. At a minimum, a request for quotations should include specifications, delivery terms and delivery location, among other considerations. It should generate a minimum of three responsive offers. It is best to invite more than three vendors to participate, since some may not provide adequate offers, while others may not submit an offer.

As mentioned above, for services to be implemented, a terms of reference is needed and further guidance is outlined below.



## **Terms of Reference**

The terms of reference (TOR) is a document which outlines services needed to assist with the implementation of particular pilot project activities. This information is guided by the pilot project proposal as well as the pilot project procurement plan.

The TOR will provide a background to the project as well as outline the objectives, scope of work and duration of the work. Additionally, the minimum qualifications and experience needed for completion of the services should be included. The TOR will be drafted by the NFP in collaboration with the Technical Specialists and shared with the proponent for their review and approval prior to publishing.

Although UNDP will utilize its channels to publish the TOR, assistance will be sought from the NFP and Proponents to disseminate the information nationally to ensure adequate submissions are received and evaluated.

## **Installation**

After procuring the goods, you may commence installation. This is where project implementation gets exciting - physically seeing your pilot project activities come to fruition!

When you have received the relevant goods, materials or equipment such as solar PV panels, pipes, tanks, plants or tools, it is important to ensure that everything is in good condition. If this is not the case, the relevant J-CCCP team members should be informed immediately.

The pilot project representative(s) providing project oversight should be present during the installation process to guide the contractor/installer and ensure that the pilot project activities are implemented in the manner that was outlined in the proposal. Any deviations must be reported to the J-CCCP team.

Please note that the location for the delivery of the good would have been included in the pilot project planning template.

## **Progress Reports**

Reporting on the progress of the project is also necessary and guidance on completion of these project progress reports are outlined below:

- These reports should be completed and submitted monthly (but note if the report is generated mid-month)
- The report should detail the progress and activities completed. These activities should be aligned to specific targets outlined in the results framework
- Status of implementation should be tracked through this report. The correct status needs to be assigned so that the appropriate action can be triggered if necessary

- Expenditure is monitored here as well. Both the matrix in the template as well as the financial worksheet needs to be completed
- Challenges and recommendations should be captured in the matrix provided
- This report should be completed by the NFP (and should be based on Field Visit Reports)

See [Project Reporting Guidance Note](#) for further details and guidance on completion of this report

### **Site and Field Visit Reports**

These templates can be completed by project proponents according to their visit schedule. The NFP will also complete according to milestones set within the project.

This report should include project status toward achievement of deliverables and outputs - indicating whether further action may be necessary and, brief analysis on any relevant changes pertaining to the outcome as stated in results framework.

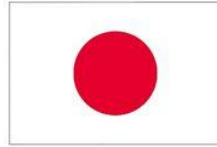
One Field Visit/Progress Report can be submitted for a multi-site project as long as the results at the sites align to the wider results framework.

See [Project Reporting Guidance Note](#) for further details and guidance on completion of this report

### **Communications and Branding**

In the course of execution, it is important that we capture the progression of the work you're involved in and, that we give credit to the various institutions which have made this work possible. Namely, the Government of Japan, the UNDP and other national partners. The main way we give these actors credit is by application of their logos. J-CCCP also has a logo.

This means that all project materials should clearly show project logos, including Government and/or partner emblems or flags (please see Guyana's example below). Crack and peel stickers with the Japan ODA logo have been provided and J-CCCP recommends that stickers featuring logos as depicted below be produced for all materials, particularly large items such as water tanks etc.



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J-CCCP recommends the erection of branded signage at each project site. For consistency, the sign should be formatted as follows and placed in a prominent location:



Additionally, UNDP J-CCCP will need to review any materials bearing project logos or making reference to the project. These include but, are not limited to: brochures, presentations, signs etc.

We welcome the provision of photos of the various project sites in your reports and ask that you refer to the [photo-taking guidelines](#).

Please also note that UNDP's global guidelines relating to media interviews and publicity must be observed. We welcome media involvement but, should you wish to issue a press release, participate in media interviews or plan project events, UNDP communications personnel should

be consulted. UNDP J-CCCP remains at your disposal to support the promotion of your pilot project.

### **Technical Monitoring Missions**

Visits to project sites will be conducted by J-CCCP Technical Specialists to ensure that pilot project activities are proceeding toward achievement of the project outcomes and outputs.

It is important that the proponent, the NFP and other relevant stakeholders participate in site visits to provide an update on the activities such as details on the progress as well as challenges and respond to queries relating to the implementation of pilot project activities. The time period for the monitoring missions will be guided by the milestones that have been identified during pilot project implementation.

## *5. Termination and Evaluation*

### **Termination reporting by proponent and NFP including sustainability plan**

The following will be captured in the termination report:

- Baseline information – this should have been previously collected but also needs to be stated in this report
- Results information – state all results as a comparison to baseline and as measured by indicators in the results framework. The results framework with targets achieved should be completed
- Lessons Learnt – the matrix provided should be fully utilized at this stage. Be sure to capture measures taken, if any
- Stakeholder Matrix – utilize matrix provided within template

### **Termination Missions – Technical and Monitoring**

These missions will be conducted between the period of October 2018 and May 2019.

Verification of results as well as stakeholder (proponents and beneficiaries) interviews will be conducted during this time.

**Project Hand-Over**

Some proponents have expressed their preference to have hand-over ceremonies, rather than launch ceremonies. J-CCCP communications personnel remains at the disposal of proponents and NFPs to support these events, providing that funds have previously been allocated.

We hope that this guidance note was beneficial for you. We wish you all the best in the implementation of project activities and we look forward to sharing the success and knowledge of your project!