



## **DELEGATION OF AUTHORITY AND INITIATION PLAN**

**[This template is auto-populated by PIMS+ and sent to the Head of Office for signature]**

### **Adaptation Fund Project Formulation Grant to:**

**Country:**

**Full Project Title:**

**PIMS ID:**

**Project Type:**

**Quantum BU:**

**Quantum Project ID:**

**Quantum Award ID:**

### **(the “Project Formulation Grant (PFG)”)**

The Project Formulation Grant (“PFG”), which amounts to a total of US\$ [amount of AF PFG budget excluding the AF Implementing Entity Fee], has received approval [hyperlink to relevant AF letter in PIMS+] on [date in Day Month Year format] in accordance with established [policies and guidelines](#) of the Adaptation Fund (AF) and the Project Formulation Grant Agreement (‘PFG Legal Agreement’) attached herewith.

This Notification constitutes the Delegation of Authority and Initiation Plan for the implementation of the PFG phase, as per the terms of the PFG Agreement. Through this DOA, primary accountability and full responsibility for this PFG is being transferred from the BPPS Vertical Funds Executive Coordinator, from whom this DOA is sent, to the Resident Representative (RR) [or Regional Hub Manager (RHM), if a regional project.] These conditions apply to the function of the RR [or RHM] and are automatically transferred to a new RR [or RHM] should a change occur during the implementation of this AF project.

The Resident Representative [or Regional Hub Manager] receives these funds for the purpose of developing a complete Fully Developed Proposal Package [or Concept Note if this is a 3-step project] that shall be submitted to the Adaptation Fund within 12 months of receipt of the PFG Grant.

The RR [or RHM] is accountable to comply with standard UNDP requirements for oversight, management, and quality assurance over project preparations as outlined in the [UNDP POPP](#), Financial Regulations and Rules and the Internal Control Framework, as well as an additional layer to meet Adaptation Fund policies and requirements. All AF-specific project assurance and oversight functions can be found in the [VF RACI](#) and align with UNDP’s internal project assurance and quality oversight functions under the PPM.

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In addition to the UNDP POPP conditions, the following AF-specific conditions shall apply to the Project:

- **The total AF Fee.** The total AF Fee over the lifetime of this project shall be [USD XX- amount to be inserted as the fee approved by the donor at the financial clearance milestone]. The AF Fee must be used for its intended purpose as per AF Policies and Procedures. The AF Fee may be returned to the AF in the event of non-compliance with the POPP and/or AF project management requirements. Please note the Fee share to the Country Office (CO) [or the Regional Hub] is allocated based on annual delivery projections and should be included in the annual IB allocation the CO receives from the Regional Bureau. [or "...allocation the Regional Hub receives."]
- **Firewall:** UNDP staff and non-staff personnel engaged in execution support services shall under no circumstances be involved in oversight services (and vice versa). Keep in mind while developing the fully developed proposal, that the RR [or RHM] shall be required to appraise and formulate the most appropriate project implementation and execution modality for the project, taking into account the AF Policies that require a separation of functions between project implementation (i.e., oversight) and project execution.
- **Risk management:** Should this PFG be at-risk of non-compliance with UNDP and Adaptation Fund policies, requirements and deadlines, these risks must be escalated by the CO to the Regional Bureau for action [or "... escalated by the RHM to the Regional Bureau Director for action"]. The BPPS Quality and Impact Hub and BPPS Planet Hub should also be informed of these risks. Non-compliance may lead to this PFG being suspended or cancelled and/or this DOA being revoked by the BPPS VF Executive Coordinator.
- **Budget revisions:** PFG budget deviations are not permitted other than in accordance with the AF PFG Legal Agreement. Budget revision requests must be cleared by the VF MPSU and approved by BPPS RTA for oversight in PIMS+ before it is approved in Quantum. Please note that the PFG budget cannot be increased above the amount already approved by the AF, and any over-expenditure on this project during the PFG phase must be absorbed by other Country Office [or Regional Hub] resources.
- **Operational and Financial Closure.** The RR [or RHM] shall ensure that all PFG activities shall be completed within 12 months from receipt of the Grant, in accordance with the PFG Legal Agreement. The PFG shall be operationally closed immediately upon completion of the PFG activities and financially closed (and supporting documents to the financial closure should be submitted to BPPS Quality and Impact Hub) within 6 months after operational closure for reporting and refunding the donor any unspent balance. Failure to financially close the project by the above deadline will result in the elevation of the Office to a high-risk category and no further Vertical Fund programming will be undertaken until overdue closures are addressed.
- **PFG Extension:** In exceptional circumstances, the AF may grant an extension of up to 12 months to the PFG, if a request is submitted to the AF no later than 2 months before PFG completion date. The request shall first be approved by the BPPS RTA who will submit it to the AF. As per the [AF Policy on Project Delays](#).

In order to action this DOA, the RR [or RHM] is requested to promptly:

1. Sign this DOA by clicking on the link below.
2. Please ensure that the project is set to the "ongoing" status in Quantum. This allows for the funds to be deposited to the project.
3. [IF THIS PFG IS NON-DIM THEN INCLUDE THIS SENTENCE:] For non-DIM PFGs, the RR [or RHM] shall ensure that the terms of this Initiation Plan (including all annexes) are agreed in writing prior to commencement of the PFG activities, a copy of which shall be provided to the RTA/RPA for uploading in PIMS+. Please

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complete the following documents, as appropriate, and have them signed by the RR [or RHM for regional projects] and the Implementing Partner:

- a. NGO/CSO as the Implementing Partner: please complete and sign the [Project Coordination Agreement Template](#) on the POPP.
- b. UN Agency or NIM implemented: please sign the TBWP Initiation Plan (annexed).

This Delegation of Authority shall enter into force upon the date of execution, corresponding to the Resident Representative's [or Regional Hub Manager's] signature of this DOA, and shall remain in force until all legal liabilities towards AF in relation to the PFG have ceased, unless revoked earlier by the BPPS VF Hub Executive Coordinator.

This DOA, including the annexed PFG Total Budget Workplan and linked attachments, constitutes the equivalent of the corporate Project Initiation Plan for the PFG phase, serving as the formal authorization for initiating project activities.

This preparatory project will start on the date of the PFG DOA signature with an end date of [Expected Date of Fully Developed Proposal Submission to the AF]

To sign this DOA, click on the link below:

[link to DocuSign where the RR/RHM will sign the DOA.]

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<b>Nancy Bennet</b> Director, Quality and Impact Hub Executive Coordinator, Vertical Funds Bureau for Policy and Programme Support United Nations Development Programme	Date of Signature	Signed by <b>Ms./Mr. First Name, Last Name</b> Resident Representative [or Regional Hub Director] UNDP Country Office [Name of Country] [or UNDP Regional Bureau Name] United Nations Development Programme	Date of Signature
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Attachments: [PIMS+ to hyperlink automatically the following attachments]

- PFG Total Budget Work Plan (TBWP)
- Concept Note or Pre-concept note (if this is a 3-step project)
- PFG Legal Agreement
- AF PFG Guidance Document
- Designated Authority Letter of Endorsement
- Terms of Reference (TORs) for PFG Consultants

A copy of this Delegation of Authority shall be provided to:

[Name of Regional Bureau Director, [Title], [Bureau Acronym]]  
[Name of Regional Bureau Deputy Director, [Bureau Acronym]]  
[Name of Regional Bureau Desk Officer (COS Desk Officer), [Title][Bureau Acronym]]  
[Name of DRR (Programme), [Title], [Country]]  
[Name of Environment Focal Point, [Title], [Country]]  
[Name of Regional Team Leader, [Title], [Region]]

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[Name of Regional Technical Advisor (RTA), [Title], BBPS Planet Hub]

[Name of Principal Technical Advisor (PTA), [Title], BPPS Planet Hub]

[Name of Regional Programme Analyst/Associate (RPA), [Title], BPPS Planet Hub]

### **ANNEX: AF PFG Total Budget Work Plan**

[PIMS to auto-include content of the completed AF PFG Total Budget Workplan]