



**INITIATION PLAN TEMPLATE**  
**FOR A GEF PROJECT PREPARATION GRANT (PPG)**

**Project Title:** Adaptive Management and Learning for the Commodities IAP

**Country:** Global

**Expected CP Outcome(s)/Indicator (s):** [UNDP Strategic Plan \(2014-2017\)](#) [\[Link\]](#) **Primary Outputs:** (2.5) Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

**Secondary Output:** [From *UNDP's Biodiversity and Ecosystems Global Framework 2012-2020*:] (*Signature Program #1*): Integrating biodiversity and ecosystem management into development planning and production sector activities to safeguard biodiversity and maintain ecosystem services that sustain human wellbeing. [\[Link\]](#)

**Initiation Plan Start Date:** 4 December 2015

**Initiation Plan End Date:** 31 October 2016

ATLAS Project Award: 00090403  
ATLAS Project ID: 00096186  
PIMS Project ID: 5665  
Management Arrangement: DIM  
  
PAC date: 25 September 2015

Total budget: **US\$150,000**

Allocated resources:

- GEF **US\$150,000**

AGREED BY UNDP

Magdy Martínez-Solimán, Assistant Administrator and Director, BPPS

DATE: 4/12/15

## A. Brief Description of Initiation Plan:

The overall objective of the Integrated Approach Pilot “Taking Deforestation out of Commodity Supply Chains” is to reduce the global impacts of agriculture commodities expansion on GHG emissions and biodiversity by meeting the growing demand of palm oil, soy and beef through supply that do not lead to deforestation.

The objective of the child project “Adaptive Management and Learning for the Commodities IAP” is to strengthen global capacity and integrated nature of the Commodities IAP to effectively leverage demand, transactions and support to production to implement the program in a synergic manner for greater impacts and replication. This PPG will develop a full-sized project integrated and synchronized with the other three child projects of the IAP.

This PPG will be implemented by UNDP in conjunction with WWF US and IFC and coordination and under the advice of the IAP’s Steering Committee. The project preparatory stage will ensure full participation of government representatives from the relevant countries and other key stakeholders. The PPG will be conducted in tandem with the other three IAP’s child projects PPGs to ensure full integration and synergy. The Project will focus on three commodities that have driven tropical deforestation, land use change and associated emissions over the last decade: palm oil (largest driver in Indonesia and southeast Asia) and soy and beef (largest drivers in Latin America).

The PPG Atlas budget is presented in section III, UNDP will be responsible for the selection and recruitment of consultants in consultation with the IAP’s Steering Committee, which includes representation from these IA’s and the GEF Secretariat. UNDP’s GEF Regional Technical Advisers from involved regions will be involved and provide guidance and quality assurance. Overall responsibility will be with the global STA for commodities, drawing on UNDP HQ for DIM support in the PPG.

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with the view to further develop the approved project concept (attached in Annex 1) into a fully formulated project document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement template ready for submission to UNDP and GEF.

## B. Project preparation activities:

### A. Component A: Technical review

The goal of the Adaptive Management and Learning child project is to strengthen the global capacity and the integrated nature of the program to effectively leverage demand, transactions and support for production to implement the program in a synergistic way for greater impacts and replication.

To function as an integrated approach and one program, coordination and programming are key functions. The IAP Program’s overall objective is based on the synchronization of activities and outcomes implemented by different Agencies and child projects; this synchronization requires a strong technical and administrative coordination. Agencies and partners involved in the implementation will be jointly responsible for the necessary adaptive management throughout the implementation of the Program, this PPG will provide the design of the program’s governance, coordination mechanisms, M&E systems and a research agenda.

This PPG, in collaboration with the IAP Steering Committee members, partner governments, private sector and civil society partners, will identify and target pilot landscapes and areas in the producing countries, and coordinate the planning efforts of the different IAP interventions in those areas.

#### I. Baseline studies:

- a. Research on Impacts (to be undertaken by IFC): Identify and map the current body of research that links sustainable production (such as production following global sustainability

standards) and environmental gains, and compares the improvements against a business as usual production regime. This baseline will help shape the research agenda in coordination with STAP for a more and conclusive correlation between sustainable commodities and deforestation. Baseline will be done in coordination with commodity roundtables, standard setting bodies, and other research groups.

- b. Monitoring and verification of sustainable and deforestation free production: Identify current capacity and systems in place to verify and monitor sustainable practices in commodity production and monitoring of deforestation and agriculture expansion in producing countries.
- c. Market Intelligence (to be undertaken by WWF US): Analyze existing information and sources of it on market demand for the target commodities, the relation between increased sustainable demand and production and deforestation, progress made towards industry commitments (such as the Tropical Forest Alliance, The New York Declaration, The Indonesian Palm Oil Pledge), etc.

II. **Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal.** NA as will be carried out as required in the production PPG.

III. **Identification of specific sites for intervention**

Site identification and targeting for the overall IAP program has to be coordinated between child projects to allow for a meaningful integration of Support to Production, Increase in Demand and Enabling Transactions to share these targets and priority locations. The selection of sites will have to match the requirements and priorities of all three child projects to meet overall program objectives.

IV. **Integration with development plans, policies, budgets and complementary projects:**

The PPG team, in coordination with the Steering Committee and UNDP's regional teams, will engage national and local Government agencies and validate the IAP's global framework in relation to national priorities for each country of involvement. At a global level this PPG will engage with plans and programs of key donor governments and other development agencies to facilitate synergy and coordination with country implementation plans.

V. **Completion of GEF focal area tracking tool:** BD Strategic Objective 2; LD-PMAT; SFM-TT. The extent of the tracking tool being prepared at programme level versus child project level will be determined during ppg phase.

VI. **Stakeholder consultations during technical review:** Mobilize and engage global and regional stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

B. Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- I. **Finalization of project results framework:** Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative GEF *SMART* indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators. This PPG is responsible for the design of the overall Program's results framework therefore this activity will be done in coordination with the Steering Committee and other child projects.

- II. Definition of monitoring and evaluation (M&E): A detailed M&E work plan for this child project will be developed as a component of the overall M&E system necessary for the IAP Program, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy. Progress and evaluation will be measured and reported in an integrated manner for the IAP.
- III. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- IV. Definition of management arrangements: The organisational structure governing the programme will be decided. This will include identification of the project team and the governance structure required as part of the IAP global implementation and UNDP's regional requirements.
- V. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements, including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- III. Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government by each respective child project. The adaptation ppg will assist as needed in government engagement to ensure all LOEs for the IAP are secured for CEO endorsement. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- IV. Stakeholder consultations during Component C: The detailed multi-year budget need to be discussed with the relevant stakeholders individually as well as consensus reached in the validation workshop. The co-financing figures should be discussed with the stakeholders and commitment to co-financing formally conveyed through written form.

D. Component D: Validation workshop

A global validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document and present all child projects at the same time in order to validate the IAP programme in its entirety to global stakeholders and partners.

**E. Component E: Completion of final documentation**

- I. Consolidation of all technical and consultation inputs into a clearly written UNDP Prodoc document with all relevant sections and annexes
- II. Completion of a CEO endorsement request form
- III. Translation of UNDP Prodoc document into host country language and any further documentation required for preparing implementation

**C. Project preparation activities work plan, timeframe, responsibilities and budget:**

PPG Activity	Timeframe (in months) <sup>1</sup>												Responsibility	
	1	2	3	4	5	6	7	8	9	10	11	12		
Program governance design	X	X												
M&E system design			X	X	X	X	X							
Impact research			X	X	X	X								
Market Intelligence			X	X	X	X								
Final Documentation							X	X	X	X	X	X		

<sup>1</sup> If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document  
UNDP-GEF Guidance for UNDP Initiation Plan for GEF funded projects

**D. Total Budget and Work Plan:**

<b>Award ID:</b>	00090403
<b>Award Title:</b>	<b>Adaptive Management and Learning for the Commodities IAP</b>
<b>Business Unit:</b>	UNDP1
<b>Project Title:</b>	<b>Adaptive Management and Learning for the Commodities IAP</b>
<b>Project ID:</b>	00096186
<b>Implementing Partner (Executing Agency)</b>	<b>UNDP</b>

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget notes
1- Project document for project "Adaptive Management and Learning for the Commodities IAP" finalized	UNDP	62000	GEF TRUSTEE	71200	International Consultant	110,000	42 weeks (4 days/week), week fee USD 2619, IAP Coordination consultant
				71200	International consultant	5,000	Administrative support to lead consultant(s)
				71200	International Consultant	10,000	M& E Consultant - 4 weeks (USD 2500 per week)
				71200	International Consultant	7,500	DIM project Support Consultant – support to UNDP operations and implementation processes
				71600	Travel	17,500	Includes estimated USD17,500 travel budget: 3 missions to Panama and missions to Steering Committee and global validation workshop
					<b>PROJECT TOTAL</b>	<b>150,000</b>	



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**Naoko Ishii**  
CEO and Chairperson

July 14, 2015

Ms. Adriana Dinu  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved your request for project preparation grant for the project concept detailed below:

Decision Sought:	Project Preparation Grant (PPG) Approval
GEFSEC ID:	9179
Agency(ies):	UNDP
Agency ID:	5665 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Full Size Project
Country(ies):	Global
Name of Project:	Comm-IAP: Adaptive Management and Learning for the Commodities IAP
Parent Program:	Global: Comm-IAP: Taking Deforestation Out of Commodity Supply Chains (IAP-PROGRAM)
PPG Grant:	\$150,000
PPG Agency Fee:	\$13,500
Funding Source:	GEF Trust Fund

This approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Sincerely,

Naoko Ishii  
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document  
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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**Annex 2: Summary of Consultants Financed by the Initiation Plan**

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWS <sup>2</sup>	Tasks to be Performed
International	Coordination consultant for IAP	2619	42	<p><b>Coordination of IAP (\$110,000)</b></p> <ul style="list-style-type: none"> <li>• Consult with Implementation Agencies (IAs) in order to understand their core programmes and fit with IAP</li> <li>• Formalize rules of the game for decision making by Steering Committee (SC)</li> <li>• Bring on board agreed new SC members as agreed by the SC</li> <li>• Organize and facilitate SC meetings and ensure IA coordination running smoothly</li> <li>• Prepare and distribute minutes for SC meetings</li> <li>• Set agreed timelines for preparation of draft documents, reviews and monitor and provide adaptive management</li> <li>• Ensure coordination between the lead IAs of the child projects, through setting up and facilitating a working group for lead IAs with regular meetings and reporting back to SC</li> <li>• Ensure harmonization of the child projects at national and landscape level</li> <li>• Lead and facilitate internal IAP communications and updates to SC, GEFsec</li> <li>• Set up and manage a system to share information and documents between projects and between countries so that country governments and teams are aware of progress in other countries across child projects</li> <li>• Set up a monitoring mechanism to ensure government engagement in all IAP countries on track and being undertaken in coordinated manner across the child projects. Identify risks to political relations.</li> <li>• Participate in country design workshops as necessary to inform and ensure IAP integration across countries and child projects</li> <li>• Ensure cross cutting themes, particularly gender and resilience, are appropriately incorporated into the child projects</li> <li>• Ensure south south cooperation is robustly incorporated across the programme</li> <li>• Ensure links to SDGs are appropriately incorporated into the child projects</li> <li>• Along with production team leader, work with the regional bureaux Director for the regional hub and country Advisors to ensure they are briefed and engaged in the programme and country developments.</li> <li>• Organize SC reviews of draft child project documents and manage the process of addressing comments across the child projects. Ensure documents are ready and pass through the multiple IA internal review processes in a timely manner. This will include organization of a SC meeting and workshop on draft documents.</li> <li>• Participate in GEFSec IAP task force</li> </ul>



Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWS <sup>2</sup>	Tasks to be Performed
				<p>Stakeholder Consultation and Engagement</p> <ul style="list-style-type: none"> <li>• Establishment of the advisory committee, preparing TOR, inviting and following up to have committee well populated with right mix of institutions and level of representation</li> <li>• Coordinate consultation with donors, develop engagement strategy with IAs, support dialogue to lead to concrete alignment and co-financing, preparing messaging and meetings</li> <li>• Coordinate consultation with international commodity initiatives eg the Tropical Forest Alliance, for coordination during implementation at global and country levels, in liaison with child projects</li> <li>• Provide updates to external stakeholders</li> <li>• Organize one global validation workshop for IAP with key partners</li> <li>• Review and ensure harmonization of co-financing for IAP (to avoid double accounting)</li> <li>• Support the organization of side events at any agreed key events</li> <li>• Develop communication strategy, branding guidelines and budget for IAP, thinking through for whom, for what, how, who does what at country, project, IA and IAP level</li> </ul> <p>Monitoring, Evaluation and Learning</p> <ul style="list-style-type: none"> <li>• Review United Nations Develop Program (UNDP), GEF and IA guidelines on M&amp;E</li> <li>• Coordinate and facilitate work of the IA M&amp;E specialists the development of the M&amp;E framework for the IAP</li> <li>• Develop a global knowledge management programme for the IAP on the integrated approach and model, to capture lessons from the child projects and operate in conjunction with the M&amp;E system and research programme</li> <li>• Organize IAP level M&amp;E workshops and consultations as needed</li> <li>• Facilitate the preparation of the GEF Tracking Tool for the IAP by the IAs</li> </ul> <p>GEF requirements</p> <ul style="list-style-type: none"> <li>• Ensure cross cutting issues such as resilience and gender is mainstreamed throughout IAP</li> <li>• Work with the GEF design expert to prepare the project document for Adaptation child project</li> <li>• Ensure Council comments on IAP addressed in final documents</li> <li>• Coordinate with Lead IAs for all documents to be submitted to GEFSec in timely manner</li> </ul>

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
				<ul style="list-style-type: none"> <li>Incorporate Council comments into a final revised child project document</li> <li>Coordinate response to Council comments for all child project documents</li> </ul> <p>Qualifications:</p> <ul style="list-style-type: none"> <li>At least 3 years' experience working with commodities, supply chains, and/or environmental sustainability (Max 20 points);</li> <li>Experience in gender within supply chains desirable (Max 5 points);</li> <li>Proven management and coordination experience of multi-stakeholder initiatives (15 Points)</li> <li>At least 2 years' experience with communications, defined by publishing communications products, developing communications strategies, managing websites, branding initiatives is an advantage (Max 20 points);</li> <li>Experience on monitoring and measuring programmes preferable (Max 10 points).</li> </ul>
International	GEF administrative consultant	1,000	5	Part-time Support consultants with all UNDP GEF administrative processes and logistics including travel, workshops, procurement.
International	M&E consultant	2,500	4	Lead M&E framework development for IAP
International	DIM project support consultant	1,300	5.77	Part-time - Administrative management of UNDP procurement, consultant recruitment, payments, travel, workshops, budget, etc. Total 28 days

<sup>1</sup> Dollar amount per person week.

<sup>2</sup> Person weeks needed to carry out the task.