



INITIATION PLAN FOR A GEF PROJECT PREPARATION GRANT (PPG)

Country: Global

Relevant UNDAF Outcome(s) and Indicator(s): *List UNDAF outcome. If no UNDAF, leave blank*
N/A

Relevant CP/CPAP Outcome(s) and Indicator (s): N/A

Relevant UNDP Strategic Plan 2008-2011 Key Result Area: Goal 4: Managing Energy and the Environment for Sustainable Development; Outcome Strengthened national capacities to mainstream environment and energy concerns into national development plans and implementation systems.

Expected Project Outcome (s) and Indicator (s): *In addition to CPAP outcomes*
N/A

Project Output(s) and Indicator(s):

1. Identification, Design and Consensus on Project Activities
2. Identification of additional partners & co-financing for project activities
3. Stakeholder consultation and training needs assessments

Programme Period: 2008-2013
 Programme Component: Energy&Environment
 PPG Title: "Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through enhanced sharing and application of LME/ICM/MPA knowledge and information tools."
 ATLAS Award ID: 00072776
 ATLAS Project ID: 00085821
 PIMS Project ID: 4481
 Duration: June 2013-April 2014
 Management Arrangement: Agency execution (IOC/UNESCO)

Total budget:	\$210,000
Allocated resources:	
• GEF	\$75,000
In kind contributions:	\$135,000

AGREED BY UNDP/GEF EXECUTIVE COORDINATOR:

Ms. Adriana Dinu
 UNDP/GEF Officer in Charge
 and Deputy Executive Coordinator

Signature

Date:
 3 July 2013

AGREED BY IOC/UNESCO

Signature

Date:

Brief Description of Initiation Plan

The objective of this Project Preparation Grant (PPG) is to develop a full project document for a regional UNDP/GEF project in International Waters focal area to improve global ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners, and supporting south-to-south learning and north-to-south learning. PPG proposal approved by the GEF Secretariat is presented in the Section II. below.

Project preparation activities will be needed essentially for the following purposes:

1. Identification, Design and Consensus on Project Activities

The PPG phase will support the background preparatory work needed to gather more detailed information in order to refine the design of the project activities and to identify the requirements for their implementation. The purpose of the PPG will be to tailor the project design to meet the immediate needs of the GEF IW LME/ICM/MPA community, as well as the coastal nations and their institutions but also to plan a sustainable long term future for the LME Global Governance from the outset. A suitably robust management framework for the operation of the GEF LME/ICM/MPA community in the short and long term, will be designed. The training and educational courses to be developed will be identified in close consultation with stakeholders to ensure they will meet the immediate and future needs of LME/ICM/MPA projects, to enhance performance particularly in regards to the new requirements of GEF6. The PPG activities will be closely coordinated with IW:LEARN3 and the GEF Transboundary Water Assessment Programme in order to ensure the approach compliments the activities and output of these parallel projects.

2. Identification of additional partners & co-financing for project activities

The PPG component will finance activities to identify partners to both co-finance and support the implementation of project activities. The PPG will organize a donor consultation event, during the middle of implementation, which will introduce the project to additional partners with as view to secure co-financing for it. Various institutions have already expressed a strong desire to partner on specific project activities and it may be possible to realize additional co-financing with such efforts. While these efforts will build upon the existing partnerships and synergies that have already been established with institutions on the global scale, it will be necessary achieve these agreements during the PPG in a clear and transparent manner to avoid confusion between partners. This component will also support preparatory work for other established activities, such as the integration and harmonization of the LME/ICM-CoP with the other IW CoPs supported by the IW:Learn project.

3. Stakeholder consultation and training needs assessments

An international consultant will be recruited to consult with stakeholders, project managers and staff to identify education and training needs and other gaps in the support of ecosystem based management. The purpose is to ensure that the project design and planned activities respond to the needs of its primary stakeholders, the GEF LME/ICM/MPA projects community. This PPG component will support direct dialogue with constituents to both market the project's outputs and ensure that they are effectively designed to meet specific project needs in a timely and equitable manner. A consultant will be tasked with engaging with all active and pipeline projects in order to identify training and support needs through the conduct of a baseline survey. The result of the survey will be used to design the capacity development strategy of the project and the refine the structure and content of the training courses, as well as the LME/ICM/MPA Toolbox that will be developed . Consultations with partner organizations to discuss existing training material, tools and other methodologies, and to review their suitability for application to the LME/ICM/MPA context will also be undertaken. Such efforts will also provide opportunities for partnership building for knowledge sharing.

Project execution services will be delivered by IOC/UNESCO. IOC/UNESCO together with Bratislava RCU will be responsible for the selection and recruitment of PPG consultants (local and international), arranging travel and meetings, maintaining project disbursements, regular financial reporting to UNDP. A tentative list of local and international consultants to be financed by the PPG is attached to the PPG proposal.

The PPG Atlas budget is presented in the Section III. “Total Budget and Work Plan”. IOC will be in charge of execution including regular financial reporting to UNDP and maintaining project disbursements and UNDP and IOC will be responsible for the selection and recruitment of PPG consultants.

PPG Steering Committee will be established to review and endorse PPG outcomes.

Stakeholder consultations will be held with all implementing partners and representatives from the LME and ICM projects at the beginning of the PPG in Paris. The participants will discuss implementation and reach agreement on the allocation of responsibilities to ensure coherent delivery. The meeting will also address the technical requirements of the project’s web-based activities.

GEF PPG CEO Approval Letter



NAOKO ISHII, PHDI
Chief Executive Officer and Chairperson

1818 H Street, NW
Washington, DC 20433 USA
Tel: 202.473.3202
Fax: 202.522.3240/3245
E-mail: Nishii@TheGEF.org

February 20, 2013

Mr. Yannick Glemarec
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Subject: PIF Clearance and PPG Approval

Dear Mr. Glemarec:

I am pleased to inform you that the following submission is cleared for inclusion in the work program with the PPG approved and will be funded by the GEF Trust Fund:

Approval Stage:	PIF Clearance and PPG Approval
GEFSEC (PMIS) ID:	5278
Agency(ies):	UNDP
Project Type:	Full Size Project
Country(ies):	Global
Name of Project:	Strengthening Global Governance of Large Marine Ecosystems and their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools
Indicative GEF Grant:	\$2,500,000
Indicative Agency Fee:	\$237,500
PPG Grant:	\$75,000
PPG Agency Fee:	\$7,125

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached 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.

It is our expectation that your Agency will submit a final project document in a timely manner, so that it is endorsed by the CEO no later than 18 months after council approval of the PIF.

Mr. Yannick Glemarec


- 2 -

February 20, 2013

Kindly inform the Secretariat as soon as possible if this timeline cannot be met so the Secretariat can either revise milestones or cancel the project, in consultation with the beneficiary country and your agency.

Attached is a copy of the review sheet for your records.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson
Global Environment Facility

Attachment: GEF Project Tracking Sheet
GEFSEC Review Sheet

GEF PPG grant document and TBWP



Submission date: April 2013

GEF PROJECT ID:

GEF AGENCY PROJECT ID: 4481

COUNTRY(IES): Global

PROJECT TITLE: Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through enhanced sharing and application of LME/ICM/MPA knowledge and information tools.

GEF AGENCY(IES): UNDP, (select)

GEF FOCAL AREA(S): International Waters

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	10/04/2013
Completion date of PPG	10/04/2014

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

1. Identification, Design and Consensus on Project Activities

The PPG phase will support the background preparatory work needed to gather more detailed information in order to refine the design of the project activities and to identify the requirements for their implementation. The purpose of the PPG will be to tailor the project design to meet the immediate needs of the GEF IW LME/ICM/MPA community, as well as the coastal nations and their institutions but also to plan a sustainable long term future for the LME Global Governance from the outset. A suitably robust management framework for the operation of the GEF LME/ICM/MPA community in the short and long term, will be designed. The training and educational courses to be developed will be identified in close consultation with stakeholders to ensure they will meet the immediate and future needs of LME/ICM/MPA projects, to enhance performance particularly in regards to the new requirements of GEF6. The PPG activities will be closely coordinated with IW:LEARN3 and the GEF Transboundary Water Assessment Programme in order to ensure the approach compliments the activities and output of these parallel projects.

A Stakeholders consultation workshop will be held with all implementing partners and representatives from the LME and ICM projects at the beginning of the PPG in Paris. The participants will discuss implementation and reach agreement on the allocation of responsibilities to ensure coherent delivery. The meeting will also address the technical requirements of the project's web-based activities.

2. Identification of additional partners & co-financing for project activities

The PPG component will finance activities to identify partners to both co-finance and support the implementation of project activities. The PPG will organize a donor consultation event, during the middle of implementation, which will introduce the project to additional partners with as view to secure co-financing for it. Various institutions have already expressed a strong desire to partner on specific project activities and it may be possible to realize additional co-financing with such efforts. While these efforts will build upon the existing partnerships and synergies that have already been established with institutions on

the global scale, it will be necessary achieve these agreements during the PPG in a clear and transparent manner to avoid confusion between partners. This component will also support preparatory work for other established activities, such as the integration and harmonization of the LME/ICM-CoP with the other IW CoPs supported by the IW:Learn project.

3. Stakeholder consultation and training needs assessments

An international consultant will be recruited to consult with stakeholders, project managers and staff to identify education and training needs and other gaps in the support of ecosystem based management. The purpose is to ensure that the project design and planned activities respond to the needs of its primary stakeholders, the GEF LME/ICM/MPA projects community. This PPG component will support direct dialogue with constituents to both market the project's outputs and ensure that they are effectively designed to meet specific project needs in a timely and equitable manner. A consultant will be tasked with engaging with all active and pipeline projects in order to identify training and support needs through the conduct of a baseline survey. The result of the survey will be used to design the capacity development strategy of the project and the refine the structure and content of the training courses, as well as the LME/ICM/MPA Toolbox that will be developed. Consultations with partner organizations to discuss existing training material, tools and other methodologies, and to review their suitability for application to the LME/ICM/MPA context will also be undertaken. Such efforts will also provide opportunities for partnership building for knowledge sharing.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Identification, design and consensus on project activities	Project document, annual workplans, roles and responsibilities defined, budget defined, project logframe defined	GEF TF	20,000	35,000	55,000
2. Identification of additional partners & co-financing for project activities	Additional co-financing for the project, alignment of the project with global and regional processes, development of project sustainability strategy	GEF TF	20,000	45,000	65,000
3. Stakeholder consultation and activity customization	Project activities that meet portfolio needs	GEF TF	35,000	55,000	90,000
Total Project Preparation Financing			75,000	135,000	210,000

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

	Project Preparation	Agency Fee
Grant Amount	75,000	7,125
Co-financing	135,000	
Total	210,000	

D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	UNDP	International Waters	Global	75,000	7,125	82,125
Total PPG Amount				75,000	7,125	82,125

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
International consultants*	18	45,000	70,000	115,000
Travel		25,000	35,000	60,000
Project Management			20,000	20,000
Misc		5,000	10,000	15,000
				0
Total PPG Budget		75,000	135,000	210,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCE/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu UNDP/GEF Deputy Executive Coordinator			Vladimir Mamaev, Regional Technical Advisor	+421 2 59337 267	vladimir.mamaev@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be Performed
International	Training, learning and Information technology specialist	2500	7	To identify training and support needs within the LME and ICM projects and associated countries. Definition of objectives and guidelines for learning exchanges/twinings. Develop a questionnaire for the identification of project needs in information and data technologies. Liaise with all LME and ICM project managers within the region to follow up with questionnaires feedback. Prepare a gaps analysis report and proposal for the LME ToolBox.
International	stakeholders engagement, training and learning LME/ICM/MPA governance advisor	2500	11	Provide expert advice in the design and scheduling of project activities, in the management structure and operation of the LME/ICM/MPA and in the equitable engagement of partners in project activities. Development of stakeholder involvement strategy, Identification of suitable partners and further development of partnerships for global and regional dialogues. Analysis and consolidation of training and support needs of LME/ ICM/MPA projects (working with local training and support advisors), provide expert advice on partners, and development of tools and methodology for toolbox and training and educational course. Analysis and consolidation of mechanisms through which the LME/ICM-CoP can support improved governance, and expert advice on the integration of ICM within LME projects. Provide expert advice in planning for the design and content of educational and training materials, including the LME Toolbox interface, and preparing for the translation of old and new material for inclusion in LME/ICM/MPA Toolbox

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task

Section III. Total Budget and Work Plan

Award ID:	00072776
Award Title:	PIMS 4481 IW PPG Global: “Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through enhanced sharing and application of LME/ICM/MPA knowledge and information tools.”
Business Unit:	UNDP1
Project Title:	PIMS 4481 IW PPG Global: “Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through enhanced sharing and application of LME/ICM/MPA knowledge and information tools.”
Project ID: PIMS no. 4481	00085821
Implementing Partner (Executing Agency)	IOC UNESCO

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: Scoping and formulation of a full scale GEF project document “Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through enhanced sharing and application of LME/ICM/MPA knowledge and information tools”	UNESCO IOC	62000	GEF	71200	International Consultants	45,000	45,000	1
				71600	Travel	25,000	25,000	2
				74500	Miscellaneous	5,000	5,000	3
					sub-total GEF	75,000	75,000	
						Total Outcome 1	75,000	75,000
PROJECT TOTAL						75,000	75,000	

Summary of Funds: ¹

GEF	75,000	75,000
National partners in-kind/cash	135,000	135,000
TOTAL	210,000	210,000

Budget notes

1	(a) International consultant: Training, learning and Information technology specialist (2,500x7 weeks = \$17,500)
	(b) International consultant: Stakeholders engagement, training and learning LME/ICM/MPA governance advisor (2,500x111 weeks = \$27,500)
2	Travel for stakeholder consultations and design of demo projects.
3	Logistic and consultations costs, translation.

¹ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc. etc