

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



*Empowered lives.
Resilient nations.*

**Project Development for the “Strengthening the institutional capacity of African Network of Basin Organization (ANBO), contributing to the improved transboundary water governance in Africa”
(PIMS: 5338, Atlas Project ID: 00091533)**

Country: Continental Africa

SRF/MYFF: 2014-2017 Strategic Plan

Relevant Outcome and Output indicators:

Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.

Output 2.5.2 Number of countries with improved capacities to implement national or sub-national plans for Integrated Water Resource Management, or to protect and restore the health, productivity and resilience of oceans and marine ecosystems.

GEF Focal Area: International Waters

Expected Output(s)/Indicator(s):

1. Project Scope and Strategy defined, and UNDP Project Document and GEF CEO Endorsement Request prepared, submitted with all other necessary documents and approved.
2. Environmental and social screening undertaken and finalized.
3. GEF focal area tracking tool completed.

Country: Continental Africa

Programme Period: 2014-2017

Programme Component: UNDP SP Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.

PPG Title: Project Development for the “Strengthening the institutional capacity of African Network of Basin Organization (ANBO)” project

ATLAS Project ID: 00091533

ATLAS Proposal ID: 00082762

PIMS Project ID: 5338

Duration: 12 months (December 2014- November 2015)

Management Arrangement: DIM

Total budget: \$ 120,000.00

Allocated resources:

Co-financing:

ANBO/SITWA: \$20,000

GEF: \$ 100,000.00

CLEARED BY UNDP

	<i>Signature</i>	<i>Date: day/month/year</i>
APPROVED BY UNDP STAN NKWAIN, DEPUTY DIRECTOR, BUREAU FOR POLICY AND PROGRAMME SUPPORT		20 January 2015

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PART 1. Brief Description of Initiation Plan

The goal of project preparatory phase (PPP) is developing the medium-sized UNDP-GEF project document (with scope, strategy, and well defined result framework). The major expected outcomes are: preparation of UNDP Project Document and GEF CEO Endorsement Request (in the required templates) in consultation with stakeholders and based on the project framework presented in the approved Project Identification Form (PIF). Furthermore, all comments raised by GEF (GEFSEC, Council members and STAP) and countries will be addressed during the project development phase.

All activities which will be carried out during PPP are supplementary towards the completion of the project document and GEF CEO Endorsement. Some of them includes but not limited to baseline data collection on the institutional capacity assessment of ANBO, organizing stakeholder's consultative workshops on type of meta-database information for studies related to climate change predictions, vulnerability assessment, and etc.

The project initiation plan will have one year duration and run from 2014-2015. The total amount of fund required is \$120,000.00 (\$100,000 from GEF; \$20,000 co-financing from ANBO/SITWA). The final outputs of the initiation plan will be a [UNDP-GEF Project Document](#), [Request for GEF CEO Endorsement](#), GEF IW Tracking Tool, Environmental and Social Screening, and co-financing letters, ready for submission to UNDP and GEF.

PART 2. Project Preparation Activities

ANBO plays three spheres of transboundary water management:

- At the continental sphere ANBO's role is that of being the technical arm of AMCOW on transboundary water matters, both in advising AMCOW as well as in assisting the implementation of AMCOW policy.
- At the regional level ANBO can support the Regional Economic Commissions (RECs) through technical advice and policy promotion on transboundary water management as well as being a facilitator and information hub, linking RECs with other relevant actors.
- Further, ANBO serves the community of African L/RBOs in supporting them on various technical aspects (knowledge exchange, capacity building, resource mobilization etc.) of transboundary water management.

The proposed ANBO project has two components and Project Management as follows:

- **Component 1:** Strengthening ANBO's institutional and technical capacity as a technical arm of AMCOW and as a pan-African knowledge and information clearing house for transboundary water management issues.
 - 1.1.1: ANBO vision, mission and detailed 5-year strategy developed and adopted by ANBO General Assembly (fully funded by EU/GWP SITWA project)
 - 1.1.2: Institutional design for ANBO Secretariat agreed and Secretariat made fully operational (fully funded by EU/GWP SITWA project)

1.1.3: Relevant policies and procedural manuals (HR policy, FM policy, gender policy etc.) for effective and efficient operations of ANBO Secretariat developed and applied

1.1.4: Financing options for ANBO analyzed for its sustainability to function as a technical arm of AMCOW

- **Component 2:** Supporting the capacity building of L/RBOs and RECs to foster transboundary cooperation.

1.2.1: ANBO's information management capacity strengthened through the enhancement of the African Water Information System (AWIS) on data related to transboundary water management, including groundwater.

1.2.2: Support to information exchange and synthesis (knowledge management and open/online access, thematic databases, development of regional indicators etc.) at regional and pan-African level provided, with specific emphasis on AMCOW water sector reporting requirements.

1.2.3: ANBO's website strengthened to make it as a premier information exchange platform for Africa's transboundary basins and aquifers.

1.2.4: ANBO's technical capacity strengthened to represent transboundary perspectives and interests on behalf of L/RBOs and groundwater commissions at AMCOW's technical task forces, such as M&E task force for water resources and transboundary waters, to mainstream transboundary concerns into AMCOW discussions.

1.2.5: Financial options to sustain technical and financial capacity of ANBO for maintaining AWIS and ANBO web platform, participation in task forces and other related political and development processes analyzed and recommendations made to ANBO General Assembly

- **Project Management**

2.1 Technical Review (Baseline Studies)

2.1.1 Consultations with stakeholders to identify the type of meta-data base information for studies related to climate change predictions, vulnerability assessment, and adaptation strategies of African transboundary basins and aquifers. Once the meta-data base is in place, it will contribute to the increased accessibility to information and data for African transboundary basins for all, including civil societies, academic institutions, water managers, economists, decision makers, politicians, L/RBOs and Groundwater Commissions, donor communities, within and outside of Africa. Such increase accessibility to information by all will stimulate further discussions (in Africa and beyond) on the transboundary water management issues in Africa;

2.1.2 Assessment on how the proposed UNDP-GEF intervention will strengthen the ANBO's information and knowledge management capacity building upon AWIS in consultation with ANBO, its members, and co-financing partners;

2.1.3 Capacity needs assessment on ANBO's institutional strength in terms of receiving, managing and disbursement of funds. Furthermore, providing explicit options on ANBO's financial sustainability strategy;

2.1.4 Define the socio-economic benefits, including gender dimensions of the ANBO project with identification and strengthening of the scope of sectors and goals for ANBO's activities and what it aims to achieve in this broader context;

2.2 Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: as part of the overall Project Preparation, UNDP will look carefully at the risks as well as the opportunities that arise from such an environmental and social screening process and these would be highlighted in the Project Document. An Environmental and social screening will be annexed to the Project Document for submission.

2.3 Completion of GEF focal area tracking tool: The GEF Tracking Tool spreadsheet will be completed during the Project Preparation process and included as part of the Project Document Annexes.

2.4 Institutional arrangements, monitoring and evaluation

2.4.1 Finalization of project results framework: The project preparation process will define a results framework which will include appropriate objective-level and outcome-level quantitative and qualitative indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.

2.4.2 Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed during project preparation, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E. 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.

2.4.3 Definition of a Sustainability Plan: A Sustainability Plan will be developed during Project Preparation which will outline the principles and guidelines for ensuring the long-term sustainability of project achievements.

2.4.4 Definition of management arrangements: The Initiation Plan will be directly implemented by the UNDP/GEF. The UNDP/GEF will be responsible for the selection and recruitment of PPG consultants (local and international), arranging travel and meetings, maintaining project disbursements, regular financial reporting.

During the PPG the most suitable management arrangements for the MSP will be assessed on the basis of the baseline data that will be collected during the project preparation phase, proposed interventions developed, and consultations with various stakeholders. The composition of the Project Management Team will be also determined during the PPG.

2.5 Financial planning and co-financing investments:

2.5.1 Budget Preparation and Adoption: The project preparation activities will include appropriate negotiations so as to prepare a detailed multi-year budget (following the standard template provided in the UNDP-GEF project document template) that also reflects the mandatory

requirements of the GEF M&E Policy to be itemised and included in the Medium Sized Project Document.

2.5.2 Explore multilateral and bilateral co-financing opportunities: Project preparation will require a series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase. Consultations will consist of donor/partner consultation meeting to agree on responsibilities and funding support. Further actions and relevant co-financing opportunities and partner support will be captured through simple bilateral/multilateral consultations. The results of these consultations will be documented in the Medium Sized Project Document.

2.6: Validation workshop (Local Project Appraisal Committee meeting - LPAC)

A validation workshop will gather representatives from all relevant stakeholders (RECS, EU/GWP SITWA, African Water Facility, governments, IGOs and other appropriate partners/donors) to present, discuss and validate the final draft project document. The LPAC is the major activity of the project preparation stage which will be carried out by UNDP-GEF.

Project Preparation Activities Work plan

PROPOSED PROJECT PREPARATION ACTIVITIES (\$)				
List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount USD (a)	Co-financing USD (b)	Total USD c = a + b
Preparing UNDP's Project Document and GEF CEO Endorsement in consultation with stakeholders.	UNDP-GEF Project document; Request for CEO Endorsement, including response to GEFSEC Council comments; PPG Completion report; Logframe with SMART indicators; annotated Total Budget and Work Plan; and Co-finance Commitment letters	50,000.00	0	50,000.00
Capacity needs assessment on ANBO's institutional strength in terms of receiving, managing and disbursement of funds. Furthermore, providing explicit options on ANBO's financial sustainability strategy;	Capacity assessment report	10,000.00	0	10,000.00
Stakeholders Consultative workshop to identify the type of meta-data base information for ANBO's information platform	Proceedings from the workshop	10,000.00	10,000.00	20,000.00
Assessment on how the proposed UNDP-GEF intervention will strengthen the ANBO's information and knowledge management capacity building upon AWIS in consultation with ANBO, its members, and co-financing partners;	Assessment report	8,000.00	0	8,000.00
Environmental and Social Screening of ANBO Project	Report	2,000.00	0	2,000.00
Validation workshop (Local Project Appraisal Committee meeting - LPAC)	Singed Minutes of the LPAC	20,000.00	10,000.00	30,000.00
Total Project Preparation Financing		100,000.00	20,000.00	120,000.00

D. Total Budget and Work Plan

Award ID:	00082762
Award Title:	PIMS 5338
Business Unit:	UNDP1
Project Title:	Project Development for the “Strengthening the institutional capacity of African Network of Basin Organization (ANBO)” (ANBO MSP PPG)
Project ID:	00091533
Implementing Partner (Executing Agency)	DIM

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount (USD) Year One	Amount (USD) Year Two	Total (USD)	See Budget Note: (see Annex A)
<p>OUTCOME Project Scope and Strategy defined, and GEF Full Proposal documentation prepared and approved.</p>	<p>UNDP</p>	<p>62000</p>	<p>GEF</p>	71300	Local Consultants	2,500.00	-	2,500.00	Cost to cover for a short-term Administrative Assistant
				71200	International Consultants	20,000.00	40,000.00	60,000.00	Prodoc development, GEF CEO Endorsement and baseline data collection
				71600	Travel	10,000.00	10,000.00	20,000.00	Transportation and DSA for M&E and participants attending consultative workshops and LPAC
				72100	Cont. services comp	7,500.00	10,000.00	17,500.00	Organizing consultative workshops and LPAC
					Total GEF	40,000.00	60,000.00	100,000.00	

Annex 1: GEF CEO PIF approval Letter



Naoko Ishii
CEO and Chairperson

June 12, 2014

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

Dear Ms. Dinu:

I am pleased to inform you that I have approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5772
Agency(ies):	UNDP
Agency ID:	5338 (UNDP)
Focal Area:	International Waters
Project Type:	Medium Size Project
Country(ies):	Regional
Name of Project:	Strengthening the Institutional Capacity of African Network of Basin Organization (ANBO) Contributing to the improved Transboundary Water Governance in Africa
Indicative GEF Project Grant:	\$2,000,000
Indicative Agency Fee:	\$190,000
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
Funding Source:	GEF Trust Fund

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This PIF and PPC 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. Please submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,



for Naoko Ishii

Chief Executive Officer and Chairperson

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

Annex 2: Summary of Consultants Financed by the Initiation Plan

Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
International consultant	3,000	20	<p>International consultants will be contracted to undertake the followings:</p> <ol style="list-style-type: none"> 1. Prepare project document and GEF CEO Endorsement in consultation with stakeholders. 2. Assessment on how the proposed UNDP-GEF intervention will strengthen the ANBO's information and knowledge management capacity building upon AWIS in consultation with ANBO, its members, and co-financing partners; 3. Capacity needs assessment on ANBO's institutional strength in terms of receiving, managing and disbursement of funds. Furthermore, providing explicit options on ANBO's financial sustainability strategy; 4. Define the socio-economic benefits, including gender dimensions of the ANBO project with identification and strengthening of the scope of sectors and goals for ANBO's activities and what it aims to achieve in this broader context; 5. Undertake a study to address any opportunities/risks identified during an environmental and social screening of the project proposal: as part of the overall Project Preparation, UNDP will look carefully at the risks as well as the opportunities that arise from such an environmental and social screening process and these would be highlighted in the Project Document 6. Organize consultations with stakeholders to identify the type of meta-data base information for studies related to climate change predictions, vulnerability assessment, and adaptation strategies of African transboundary basins and aquifers. Once the meta-data base is in place, it

			<p>will contribute to the increased accessibility to information and data for African transboundary basins for all, including civil societies, academic institutions, water managers, economists, decision makers, politicians, L/RBOs and Groundwater Commissions, donor communities, within and outside of Africa. Such increase accessibility to information by all will stimulate further discussions (in Africa and beyond) on the transboundary water management issues in Africa;</p>
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¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task and corresponds to the dollar amount per person week in the previous column.