



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining

Country: Suriname

CP Outcome(s): *CPD Outcome Area 3:* By 2016 public and relevant national-level institutions are strengthened and possess the institutional capacities, management instruments, policy frameworks and competencies to: promote environmentally sustainable development; adapt to and mitigate the impacts of climate change on the most vulnerable; and prepare for and empower vulnerable communities to respond to natural disasters and other anthropogenic-induced hazards

Expected Output(s)/Indicator(s): **Outcome indicators: # 1** - Existence of institutional capacities, policy frameworks and competencies to promote environmentally sustainable production; **# 2** - % of targets in national biodiversity and climate change and sound chemical-management plans that are achieved; **# 3** - % of targets in policies and action plans promoting stronger, more resilient hinterland and coastal communities

Output: Environmental policies integrated in development planning. Planning, monitoring, regulatory, enforcement, reporting capacities assessed, resources mobilized for implementation.

UNDAF Outcome 1: *By 2016, most excluded marginalised groups and vulnerable populations benefit from reinforced social, economic, and environmental programmes towards accelerated and equitable MDG progress, meaningful participation, and a better quality of life for all beyond the MDG agenda.*

UNDAF Outcome 2: *By 2016, government formulates and implements harmonized, equity focused, and gender sensitive MDG-oriented key legislation, policies, and budgets in accordance with the Government's commitments to international human rights conventions and other internationally agreed development goals.*

Initiation Plan Start Date: 1 August 2016

Initiation Plan End Date: 30 September 2017

ATLAS Project Award:	00083023
ATLAS Project:	00091698
PIMS Project ID:	5627
Duration:	16 months
Management Arrangement:	NIM

Total budget:	US\$109,590
Allocated resources:	
• GEF	US\$109,590

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

Date: 3/August/2016

Richard Blewitt

A. Brief Description of Initiation Plan:

During this initiation period, information gathering, various studies, and stakeholder consultations will be undertaken with a view to further developing the approved project concept (see GEF PIF attached in Annex 1) into a fully formulated project document for the project "Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining". The project is complex, with various barriers preventing a long-term solution from being reached. Furthermore, there are gaps in baseline information that need to be filled during the PPG and existing disperse data that need to be analyzed and consolidated. Careful analysis will be necessary to determine how the project will contribute effectively to environmental impacts across five different focal areas, including Biodiversity, Land Degradation, Chemicals and Waste, Climate Change and Sustainable Forest Management. A wide range of stakeholders that are involved in gold mining or affected by the impacts of gold mining will be consulted to ensure that the project is responsive to their needs, feasible to implement, and has broad buy-in/ ownership. In addition, co-financing commitments will be sought.

As part of its support to NIM implementation, UNDP Suriname will provide close guidance to ensure timely delivery of the final outputs. This includes but is not limited to sourcing of technical assistance for the studies and quality assurance as per the applicable social and environmental safeguards.

The final outputs of the initiation plan which will have to be submitted on time to UNDP for final technical clearance and financial clearance and to the GEF Secretariat for review not later than September 2017 will include: 1) UNDP-GEF project document including all the annexes, 2) GEF CEO endorsement template including all the annexes, 3) the full set of letter of co-finances.

This Initiation Plan provides further detail on the specific activities to be carried out during the preparatory phase, the cost of the activities and the experts that will need to be hired.

B. Project preparation activities:

The PPG phase will commence with an inception workshop/ kick-off event to enable early information sharing among the main stakeholders. Throughout the PPG phase, stakeholders will be kept informed of key milestones and drafts will be shared as appropriate.

Component A: Technical studies and data gathering

- I. Baseline studies: Various baseline studies will be carried out during the PPG stage. These include studies on:
 - a) Policy, legal and institutional context of the project and appropriate project interventions to strengthen the policy framework and increase the institutional capacity to manage mining, in particular gold mining;
 - b) Socio-economic context of the project and appropriate project interventions to address socio-economic barriers and promote sustainable livelihoods;
 - c) Environmental impacts of mining in Suriname, in particular gold mining, and threats from mining related to biodiversity loss, land degradation, climate change, unsustainable forest management and mercury contamination. This study will also identify the most strategic project intervention to address these environmental impacts;
 - d) The most feasible technologies and practices to promote through the project intervention in order to reduce negative environmental impacts, including non-mercury technologies, and those that have the highest likelihood of uptake among miners. This study will also identify the associated training needs to support adoption of these technologies and practices and provide recommendations as to the location of the demonstration site to showcase non-mercury technologies and land rehabilitation practices.

e) The PPG phase will provide support through the purchase of materials and goods for government workers to carry out monitoring/ sampling in the field to obtain baseline data as necessary for the completion of the Project Strategic Results Framework and/or Project Document.

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.
- III. Gender Analysis: analysis of gender baseline, supporting the development of gender indicators, to include gender implication in the project and propose a strategy to enhance gender equality, and describes the inclusion of gender throughout the project logics.
- IV. Final identification of specific location for sustainable gold mining demonstration site, based on baseline study in section 1 and on stakeholder consultations.
- V. Integration with development plans, policies, budgets and complementary projects: Studies to define coordination with other relevant projects and to ensure that the project is complementary with national development plans, sectoral plans and policies.
- VI. Completion of GEF focal area tracking tools for Biodiversity, Land Degradation, Climate Change Mitigation, and Sustainable Forest Management/ REDD+ focal areas (no specific tracking tool exists for Chemicals and Waste projects focused on mercury).
- VII. Evidence of substantial stakeholder consultations at national and project site level during the design phase: This will enable stakeholders to provide input on technical, legal, social and environmental aspects related to project design. This will also enable partnerships to be negotiated with ongoing projects to align their activities and to enable the project to build synergies. This will also incorporate among others the Brownsberg Nature Park and surrounding area.

Component B: Institutional arrangements, monitoring and evaluation

- VIII. Preparation of Project Results Framework: Using technical inputs from Component A, the Project Strategic Results Framework will be defined with appropriate objective-level and outcome-level quantitative and qualitative 'SMART' indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators, where applicable.
- IX. Definition of monitoring and evaluation (M&E) plan: A detailed M&E work plan will be developed, 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.
- X. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the Project Steering Committee and other relevant structures.
- XI. Stakeholder consultations during Component B: Key agencies will be involved in the development of the project strategy to ensure strong national ownership. In close collaboration with key government representatives and other stakeholders, full participation in the development of the project results framework and agreement on the project objectives and outcomes will be sought. Consultations will be carried out to secure agreement(s) on project implementation arrangements, including roles, responsibilities, and accountabilities of lead and partner agencies. All key consultations will be documented.

Component C: Financial planning and co-financing investments:

- I. Preparation of 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. Exploration of multilateral and bilateral co-financing opportunities: This will involve a series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- III. Securing of the co-financing agreement guarantees 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: These will seek the engagement of key agencies, government representatives and other stakeholders in financial planning and will ensure national co-financing for the different project elements.

Component D: Drafting of ProDoc and CEO Endorsement

Making use of inputs from stakeholder consultations and technical inputs from the national consultants, the International Project Design expert will consolidate the information and draft a clearly written and complete UNDP ProDoc with all relevant sections and annexes, and a CEO Endorsement Request. These will adhere to UNDP and GEF criteria, follow international best practice in project design, and use official and updated templates. Among the numerous key sections to address in the project design is the definition of a sustainability plan. The latter 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.

Component E: Validation workshop

A validation workshop will gather representatives from all relevant institutions to present, discuss and validate the final Project Document.

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

PPG Activity	Timeframe (in months) ¹																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Component A																		
Component B																		
Component C																		
Component D																		
Component E																		

D. Total Budget and Work Plan:

Award ID:	00083023
Award Title:	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining
Business Unit:	SUR10
Project Title:	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining
Project ID:	PIMS 5627; Project ID: 00091698
Implementing Partner (Executing Agency)	UNDP Suriname

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$
Project Preparation Grant to prepare the UNDP-GEF Project Document for the project “Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining”	UNDP SURINAME		GEF TRUSTEE	71200	International Consultants	35,750
				71300	Local Consultants	53,000
				71600	Travel	14,000
				72300	Materials and goods	3,000
				72500	Supplies	800
				75700	Training, Workshops and Conferences	3040
					PROJECT TOTAL	109,590

¹ 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

Annex 1: GEF CEO PIF approval letter



Naoko Ishii
CEO and Chairperson

May 04, 2016

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 cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9288
Agency(ies):	UNDP
Agency ID:	5627 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Full Size Project
Country(ies):	Suriname
Name of Project:	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining
Indicative GEF Project Grant:	\$7,589,041
Indicative Agency Fee:	\$720,959
PPG Grant:	\$109,590
PPG Agency Fee:	\$10,411
Funding Source:	GEF Trust Fund

Break down of Indicative Agency Fee				
Agency	Trust Fund	40% Fees to be committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US\$)
UNDP	GET	\$288,384	\$432,575	\$720,959

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Annex 2: Summary of Consultants Financed by the Initiation Plan

Position Titles	\$/ Person Week	Estimated PWs	Tasks to be performed
Local			
Policy, legal and institutional expert	1250	8	<p>This expert will be responsible for the following tasks:</p> <ul style="list-style-type: none"> ➤ Collecting and analyzing information on existing policy, legal and regulatory framework and guidelines for the management of mining in Suriname, in particular gold mining; ➤ Determining gaps in the policy and legal framework; ➤ Identifying barriers to addressing these; ➤ Providing recommendations on project activities to strengthen the policy, legal and regulatory framework; ➤ Examining the existing institutional framework for management of gold mining (mandates, institutional overlap, etc.) and carrying out institutional capacity assessments; ➤ Identifying constraints and barriers to addressing institutional weaknesses; ➤ Identifying most appropriate project interventions to strengthen institutional capacities and the institutional framework; ➤ Holding workshops with institutional stakeholders to support the institutional capacity assessments and identification of institutional strengthening needs; ➤ Providing advice as to availability of expertise to execute the Full Sized project and how to minimize potential negative impacts of capacity constraints on project execution. <p>This national expert will liaise with and feed relevant and succinct information to the International Project Development Expert as it relates to the policy, legal and institutional framework to support the drafting of the ProDoc, including but not necessarily limited to the institutional context section, the project strategy section, and country ownership section. The consultant will also provide support in the identification of appropriate indicators, baselines, targets and sources of verification related to strengthening the policy, legal and regulatory framework to include in the project Strategic Results Framework.</p>
Socio-economic analysis, Gender analysis and stakeholder analysis expert	1250	8	<p>This expert will be charged with the following activities:</p> <ul style="list-style-type: none"> ➤ Ensure early information sharing and as required the application of the principle of free prior and informed consent (FPIC) ➤ Gathering baseline information on socio-economic impacts of mining in Suriname, in particular gold mining; ➤ Identifying socio-economic barriers to reducing the environmental impact of gold mining; ➤ Identifying appropriate project interventions to address socio-economic issues and support livelihoods;

			<ul style="list-style-type: none"> ➤ Identifying all relevant project stakeholders and carrying out a stakeholder analysis for ProDoc; ➤ Identifying how to mainstream gender issues in project design; ➤ Developing a project stakeholder involvement plan for ProDoc. This will involve consultations and workshops in the field. <p>This national expert will liaise with and feed relevant succinct information to the International Project Development Expert to support the drafting of the ProDoc, in particular but not necessarily limited to the socio-economic context section, Stakeholder Analysis section, the Annex with Stakeholder Involvement Plan, and the Social and Environmental Safeguards Annex. This consultant will also provide support in the identification of appropriate socio-economic indicators, baselines, targets and sources of verification to include in the project Strategic Results Framework. The consultant will also provide a gender analysis, with a baseline sex disaggregated data for the results framework, which will also include the number of male/female beneficiaries, gender responsive results framework, which will include gender responsive indicators and targets and a gender action plan, which outlines the practical steps to how the project will contribute to advancing gender equality and women's empowerment.</p>
Expert on environmental impacts of mining	1500	7	<p>This expert will be responsible for the following activities:</p> <ul style="list-style-type: none"> ➤ Gathering information on and analyzing the environmental impacts of mining in Suriname, in particular gold mining, and threats associated with biodiversity loss, land degradation, climate change, unsustainable forest management and mercury contamination; ➤ Identifying the environmental barriers to addressing these impacts; ➤ Providing input into the most strategic project intervention to address these environmental impacts; <p>This national expert will liaise with and feed relevant and succinct information to the International Project Development Expert to support the drafting of the ProDoc, in particular but not necessarily limited to the environmental context section, project strategy and the Social and Environmental Safeguards Annex. This consultant will also provide support in the identification of appropriate environmental impact indicators, baselines, targets and sources of verification to include in the project Strategic Results Framework and will support the completion of relevant tracking tools for the ProDoc.</p>
Mining engineer/geologist with expertise in environmentally-friendly mining technologies	1500	7	<p>This consultant would be responsible for the following tasks:</p> <ul style="list-style-type: none"> ➤ Determining the most feasible technologies and practices to promote to reduce negative environmental impacts, including non-mercury technologies; ➤ Holding workshops with miners to determine likely uptake of different possible technologies;

			<ul style="list-style-type: none"> ➤ Identifying associated training needs to support uptake of these technologies and practices; ➤ Providing recommendations as to location of demonstration site(s) on non-mercury technologies and pilot projects; ➤ Identifying the most strategic project intervention; ➤ Providing input into project strategy section of ProDoc, in particular as it relates to training of miners, establishment of demonstration site, and establishment of Mining School. ➤ Providing input into project Strategic Results Framework in terms of indicator(s) related to training of miners.
National project development coordinator	1500	8	<p>The coordinator will carry out tasks as necessary to facilitate the process of gathering relevant information for the development of the Project Document.</p> <p>Specific responsibilities of the national project development coordinator include:</p> <ul style="list-style-type: none"> ➤ Coordinating the work of other national consultants, ensuring that they have the inputs necessary to carry out their work and ensuring the timely delivery of their final products with the expected quality; ➤ Liaising with stakeholders to secure institutional commitments in terms of co-financing letters and the letter of endorsement; ➤ Gathering information on coordination with other projects, including the REDD+ project and information sharing with other projects in the region; ➤ Liaising with national counterparts to obtain budget figures as necessary and support pluriannual planning of project activities; ➤ Arranging meetings to come to agreement on project management arrangements. As part of these meetings, it will be important to assess lessons learned from previous GEF projects in the country with a view to identifying ways to strengthen execution capacity. ➤ Leading the organization of the PPG inception and validation workshops, convening all relevant stakeholders. ➤ Explore opportunity with IFI (IsDB, WB) and local financial institutions for incentivized use of environmentally responsible mining practices and appropriate technologies. <p>The national project development coordinator will work in close coordination with all national consultants as well as with the International Project Development Expert.</p>
International			

International Project Design Expert	2,750	13	<p>The International Project Design Expert will work closely with the team of national experts to guide the collection of required baseline and background information. He/she is responsible for the drafting of the ProDoc and CEO Endorsement. The Expert will ensure that the project design adheres to GEF criteria and meets international best practice. Specific responsibilities include:</p> <ul style="list-style-type: none"> ➤ Incorporation of Best practices and lessons learned from previous GEF projects ➤ Identifying the most strategic, cost-effective project intervention, with input from national experts; ➤ Defining the Project Strategic Results Framework (with input from national consultants, the national counterpart and UNDP); ➤ Developing the project Monitoring and Evaluation Plan; ➤ Identify project incrementality and global environmental benefits; ➤ Identifying and including strategies for project sustainability; ➤ The final output of this consultancy will include a complete ProDoc, based on GEF guidelines including all relevant sections, including but not necessarily limited to: project context (environmental, socio-economic, legal and policy, institutional); threats; long-term solution and barriers; baseline projects; stakeholder analysis; project rationale and policy conformity; country ownership; design principles and strategic considerations; UNDP comparative advantage; project Objective, Outcomes and Outputs; incremental reasoning, global environmental benefits and socio-economic benefits; key indicators, risks and assumptions; Project Results Framework; total budget and workplan; management arrangements; monitoring and evaluation; legal context; and relevant Annexes, including tracking tools. ➤ The Project Development Expert will also draft the CEO Endorsement document as per the most up to date template ➤ Responsible for responding to comments from GEF Secretariat and Council members on the draft ProDoc in cooperation with the UNDP/GEF Regional Technical Advisor. ➤ Explore opportunity with IFI (IsDB, WB) and local financial institutions for incentivized use of environmentally responsible mining practices and appropriate technologies. ➤ Identify and explore with existing networks (Guiana Shield Initiative, ACTO, WWF/Gomian, SDSN) and new networks the possibility of greater information and knowledge sharing on ASGM. ➤ Final technical responsibility for social and Environmental Screening ➤ Prepare an indicative Procurement Plan
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			<ul style="list-style-type: none">➤ Review the specific technical issues and questions raised by the GEF SEC and STAP on PIF and address these as applicable. <p>The consultant will liaise closely with the national project development expert and all other national consultants.</p>
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