

INITIATION PLAN  
FOR A GEF PROJECT PREPARATION GRANT (PPG)



Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo Critical Landscape in North Eastern Uganda

**Country: Uganda**

UNDAF Outcome(s)/Indicator(s): "Vulnerable communities, Government, civil society and the private sector are sustainably managing and using the environment and natural resources for improved livelihoods and to cope with the impact of climate change"./ Indicator : Percentage of land under forest cover

(CP outcomes linked to the SRF/MYFF goal and service line)

**Expected Outcome(s)/Indicator (s):** UNDP Project Document and accompanying GEF CEO Endorsement documentation prepared within the established deadline (project milestones) and successfully submitted to the GEF.

**Expected Output(s)/Indicator(s):**

A. Project Scope and Strategy defined, and GEF Full Proposal documentation prepared and approved.

1. Baseline Data Collection and Information Gap Analysis
2. Capacity Assessment of Implementing Institutions.
3. Project Strategy, Feasibility and Budget.

**Programme Period:** 2011-2012

**Programme Component:** Environment and Energy

**PPG Title:** Conservation and Sustainable Use Of The Threatened Savanna Woodland in the Kidepo Critical Landscape in North Eastern Uganda

**ATLAS Project ID:** 00079404

**ATLAS Proposal ID:** 00062107

**PIMS Project ID:** 4592

**Duration:** 12 months

**Management Arrangement:** NEX

**Total budget:** US \$ 411,819

**Allocated resources:**

- **Government:** US \$ 310, 000
- **GEF:** US \$ 101,819

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

Signature

Date:

Lebogang Motlana  
Country Director

  
.....  .....

25/07/2011



Uganda

## **Brief Description of Initiation Plan**

Funding for the project preparatory grant is requested to activities that are critical for the preparation of the FSP. The work to be covered involves detailed studies and analyses that will result in feasible and cost effective strategies to improve management effectiveness in the Kidepo Critical landscape (KCL). The main project components are: (1) Baseline Data Collection and Information Gap Analysis to provide a better understanding of the constraints that have impeded more effective management of the KCL and (2) Capacity Assessment of Implementing Institutions that will result in a clear definition of roles and responsibilities for project implementation.

Funding from this phase of the project will also be used to finalize project strategy (*drawing on results from components 1 and 2*) including arrangements for implementation, roles and responsibilities for different institutions, financing and quantified indicators against which the project success will be evaluated. These activities will pave the way for effective and efficient implementation of the project and also ensure sustainability.

An international or regional expert knowledgeable and has experience with preparation of GEF projects will be brought in to provide additional technical backup to the local experts.



**REQUEST FOR A PROJECT PREPARATION GRANT (PPG)**

**PROJECT TYPE: Full-sized Project**

**TYPE OF TRUST FUND: GEF Trust Fund**

**Submission date:** June 30, 2011

**GEF PROJECT ID:** 4456

**GEF AGENCY PROJECT ID:** 4592

**COUNTRY(IES):** Uganda

**PROJECT TITLE:** Conservation And Sustainable Use Of The Threatened Savanna Woodland In The Kidepo Critical Landscape In North Eastern Uganda

**GEF AGENCY (IES):** UNDP

**GEF FOCAL AREA(s):** BIODIVERSITY

**A. PROJECT PREPARATION TIMEFRAME**

Start date of PPG	07/01/2011
Completion date of PPG	07/01/2012

**B. PROPOSED PROJECT PREPARATION ACTIVITIES**

**Describe the PPG activities and justifications:**

The objective of the Project Preparation Grant is to carry out groundwork that will inform preparation of the Full Sized Project: *Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo Critical Landscape in North Eastern Uganda*

The project document will be submitted to the GEF at the end of the information gathering and stakeholder consultation process, and will be accompanied by co-financing confirmation letters.

In-co-financing for the PPG activities has been secured from Uganda Wildlife Authority (UWA) and the National Environment Management Authority (NEMA), the two executing agencies for the project. Furthermore, the academic institutions and the USAID-WCS funded WILD project have already collected some data about the landscape and will contribute to the baseline information. The project preparation workshops will take advantage of any workshops organized by co-funders (such as USAID-WCS-WILD project) that is relevant to the project, thus enabling full consultation and involvement in designing the technical measures. In this way, the involvement of co-funding partners and cost-sharing will be ensured in order to design appropriate implementation arrangements and ensure their interest in taking part in the execution and co-financing of the project. All other project partners and co-financers will be involved in the project design phase through one-on-one consultations, working group meetings, and participating in project development workshops. This will ensure full ownership of the project.

Three major activities are envisaged:

**1. BASELINE DATA COLLECTION AND INFORMATIONAL GAP ANALYSIS:**

The PPG component is relevant for all PIF components and will finance collection of baseline information including,

- Management effectiveness scores of the PAs in the Kidepo critical landscape,
- PA financing score cards for the PAs
- Estimate of the current financing gap and options to address the gap
- Identification and estimate of the number of key indicator species that will be monitored during the project,
- Extent of the shea tree coverage and degradation, and other relevant biophysical and socio-economic data
- PA staff capacity assessment
- Targets and indicators linked to component 2 of the PIF involving women and young groups.
- An Inventory of the national and district policies, laws, strategies and action and plans on the conservation and management of biodiversity, and the development of corridors, buffers zones; including shortcomings and gaps that may affect the efficacy of project activities proposed, and recommendations on how to mitigate these constraints.

## 2.ASSESSMENT OF THE CAPACITY OF DIFFERENT AGENCIES TO SUPPORT THE IMPLEMENTATION OF PROJECT ACTIVITIES.

This PPG component is relevant for all PIF outcomes, and is designed to ensure that implementation arrangements, partnership strategies and capacities are in place and adequate for the successful project implementation and its sustainability. The PPG will finance

- (i) At local Government level: Analyses of local governance and organization at district and community level, focusing particularly on existing mechanisms for planning, monitoring and regulation of biodiversity management and their effectiveness;
- (ii) At PA level: analyses of the PA agencies governance and capacity, focusing particularly on existing mechanisms for planning, monitoring and regulation of biodiversity management and their effectiveness with a focus on KCL. This will also involve reviewing documents on studies on governance on PAs carried out in Uganda to identify some of the good practices that would be relevant to KCL.
- (iii) At Law enforcement level: analyses of the law enforcement capacity focusing on surveillance, information gathering and sharing among all relevant agencies; existing databases and information management systems for updating them with current information, and a clear cost-benefit analysis for the proposed activities including rationale and cost-effectiveness.
- iv) At civil society level: Analyses of civil society conservation modalities (support groups, associations etc), their governance and organization, particularly its effectiveness as it relates to biodiversity management;
- v) At private sector level: Analyses of the private sector involvement in biodiversity conservation, in particular on value addition to biodiversity based-products with emphasis on shea nut tree products, support to local communities on biodiversity conservation and livelihood improvement.
- (v) Identification of needs and opportunities for strengthening biodiversity management at each of the above level;
- (iv) Development of recommendations of how these can be improved, how to set up an effective coordination mechanism can in order for the project to be implemented successfully. This should also incorporate the role of indigenous and local communities and gender issues will be incorporated.

## 3. PROJECT FEASIBILITY ANALYSIS, STRATEGY AND BUDGET

The three key outputs of these component will be (i) a detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) a detailed budget, and (iii) a detailed monitoring and evaluation plan.

The activities will include:

- Detailed incremental-cost analysis as per GEF guidance: precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices;
- Assessment of the social, economic and financial sustainability of proposed project activities, including gender aspects;
- Assessment of the alternatives to the project strategy and detailed definition of the the cost effectiveness of the preferred strategy and suite of activities;
- Quantification and detailed presentation of the global environmental benefits of the project
- A deeper on the ground analysis of the major risks linked to the recent history of the region, land ownership, and the extent of the return to normality in terms of institutions, local governments
- Definition of the replication strategy for project activities;
- Development of the project monitoring and evaluation plan, and budget;
- Costing the expected project outcomes and outputs, identify co-financing sources and secure co-financing commitments (letters).
- ToRs for the task force to be utilised and consultant to be contracted by the project.
- Finalized project logical framework, with particular emphasis on ecological and socio-economic indicators

Proposed Project Preparation Activities	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing(b)	Total c = a + b
<b>Component 1.</b> Baseline Data Collection	Baseline reports with information on <ul style="list-style-type: none"> <li>• Management effectiveness scores of the PAs in the Kidepo critical landscape,</li> <li>• PA financing score cards for the PAs</li> <li>• Estimate of the current financing gap and options to address the gap</li> <li>• Headcounts of the number of key indicator species</li> </ul>	GEFTF	26,000	72,000	98,000

	<p>that will be monitored during the project,</p> <ul style="list-style-type: none"> <li>• Extent of the shea tree coverage and degradation, and other relevant biophysical and socio-economic data</li> <li>• PA staff capacity assessment</li> <li>• Targets and Indicators linked to component 2 of the PIF involving women and young groups.</li> <li>• Inventory of the district policies and plans guiding the expansion of PAs, and the development of corridors, buffers zones; including shortcomings and gaps that may affect the efficacy of project activities proposed, and recommendations on how to mitigate these constraints.</li> </ul>				
<b>Component 2.</b> Assessment of the capacity of different agencies to support the implementation of project activities.	<p>A detailed report with</p> <ul style="list-style-type: none"> <li>○ Characterization of the institutions in the landscape in terms of their capacities, their relations with different stakeholder groups and their representative validity;</li> <li>○ Analyses of governance and capacity in various agencies that will be supporting implementation of the project, focusing particularly on existing mechanisms for planning, monitoring and regulation of biodiversity management and their effectiveness;</li> <li>○ Identification of needs and opportunities for strengthening planning, monitoring and regulation at each level;</li> <li>○ Recommendations of project strategies for capacity development in these areas; including a coordination mechanism that looks at existing relations between institutions in the region, highlighting any areas of conflict of mistrust; potential incentives of the various stakeholder groups to be addressed by the project.</li> <li>○ Definition of indicators of project impacts on institutional capacities, together with corresponding baseline values and targets</li> </ul>	GEFTF	32,000	96,000	128,000
<b>Component 3.</b> Feasibility analysis and budget.	<ul style="list-style-type: none"> <li>○ Detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks;</li> <li>○ Detailed budget, and</li> <li>○ Detailed monitoring and evaluation plan.</li> </ul>	GEFTF	43,819	142,000	185,819
<b>Total Project Preparation Financing</b>			<b>101,819</b>	<b>310,000</b>	<b>411,819</b>

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

	Project Preparation	Agency Fee
Grant Amount	101,819	10,181
Co-financing	310,000	
<b>Total</b>	<b>411,819</b>	<b>10,181</b>

#### D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEFTF	UNDP	Biodiversity	Uganda	101,819	10,181	112,000
<b>Total PPG Amount</b>				<b>101,819</b>	<b>10,181</b>	<b>112,000</b>

<sup>1</sup>Additional US\$ 12,000 allocated to PPG was left over from the PIF.

**E. PPG BUDGET**

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
International consultants*	12	33,000	99,000	132,000
Task force meetings / activities *	28	42,000	126,000	168,000
Travel		26,819	85,000	111,819
Miscellaneous**				
<b>Total PPG Budget</b>		<b>101,819</b>	<b>310,000</b>	<b>411,819</b>

**F. GEF AGENCY(IES) CERTIFICATION**

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

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec, UNDP/GEF Executive Coordinator	<i>Y. Glemarec</i>	April 18, 2011	Alice Ruhweza, RTA EBD	+27 12 874 4992	Alice.Ruhweza@undp.org

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
Task force	Resource persons on :- 1) Protected Area Planing and Management 2) Institutional/ Governance and 3) Socio-Economic Issues	tbd	28	<p>The task force will have expertise in three areas:</p> <ol style="list-style-type: none"> <li>1) Protected Area Planing and Management</li> <li>2) Institutional/GovernanceIssues</li> <li>3) Socio-Economic Issues</li> </ol> <p>1) Protected Area Planing and Management The task force will collect baseline information to develop detailed profiles of the PAs in the Kidepo Critical Landscape as well as an overview which assesses the key themes and issues arising for these PAs and their wider context. This information will be complemented by focused interviews with key PA institutions and stakeholders, and backed-up by site visits to verify or collect any outstanding information. Specifically, the consultant will:</p> <ul style="list-style-type: none"> <li>• Collate and assess conservation and economic development plans, projects, programs and initiatives affecting or impacting on the proposed project activities, including analysis of existing PA management plans</li> <li>• Collate and assess baseline social, economic and political information</li> <li>• Assess the developmental context (key business sectors; socio-economic development; political environment), and its current and future impacts on the conservation status of the habitats</li> <li>• Analyze policy, social, regulatory, socio-economic, institutional, technical and knowledge barriers to the expansion and effective management of the network of protected areas in the Kidepo Critical Landscape</li> <li>• Provide an assessment of the reality and dynamic of human-wildlife conflicts and prior interventions, with outline recommendations</li> <li>• Collate and assess baseline ecological, biological and physical geographical information including the state of biodiversity (i.e. species, habitats and ecosystem processes) of Kidepo critical landscape</li> <li>• Analyze the spatial distribution, conservation status and geographical context of the PAs and in the transboundary context of southern Sudan, the spatial extent and development of satellite images and maps of the proposed project areas and the current spatial distribution of land uses and levels of transformation in the proposed areas</li> <li>• Analyze the existence of previous monitoring efforts</li> </ul>

				<p>including of indicator species and habitats. In collaboration with USAID-WILD project and other responsible institutions, using conservation planning technology and tools rapidly assess the effectiveness of the PAs in conserving the full range of ecosystems and biodiversity values in Kidepo Critical landscape, and in maintaining the ecological viability, resilience and integrity of these ecosystems, thus completing the METT for the individual PAs and collaboratively develop time-based targets for improving the METT scores.</p> <p>2) Institutional/Governance Issues – the task force will:</p> <ul style="list-style-type: none"> <li>○ Analyse institutions that will be supporting implementation of the project in the landscape in terms of their capacities, their relations with different stakeholder groups and their representative validity; look at existing relations between institutions in the region, highlighting any areas of conflict of mistrust</li> <li>○ Analyse governance and capacity for all institutions focusing particularly on existing mechanisms for planning, monitoring and regulation of biodiversity management and their effectiveness;</li> <li>○ Identify needs and opportunities for strengthening planning, monitoring and regulation at each level; (including incentives)</li> <li>○ Recommend project strategies for capacity development in these areas; including a coordination mechanism that; potential incentives of the various stakeholder groups to be addressed by the project.</li> <li>○ Define indicators of project impacts on institutional capacities, together with corresponding baseline values and targets</li> </ul> <p>3) Socio-Economic Issues – the task force will:</p> <ul style="list-style-type: none"> <li>● Collect baseline information required on the socio-economic aspects of the landscape- (including indicators, targets) and any other activities linked involving women and young groups</li> <li>● Prepare a report on the findings</li> </ul> <p>The task force shall work in close collaboration with UWA, the International Consultant and other relevant stakeholders as needed.</p>
Consultant	PA Economics/ Finance Expert	2750	12	<p>The PAs economics/financing expert will:</p> <ul style="list-style-type: none"> <li>● Lead the team and work closely with the Local Consultant, UWA and other stakeholders</li> <li>● Establish the different institutions financial requirements for the alternative PA management scenarios and assess the efficacy of different alternatives to improve the</li> </ul>



				<p>financing of the PAs.</p> <ul style="list-style-type: none"> <li>• Undertake an economic analysis of PA system in the Kidepo critical landscape assessing the potential for financing and contributions to national and local economies.</li> <li>• In cooperation with the Local Consultant and private sector inputs, assess potential for enhanced tourism/foreign direct investment involvement in financing,</li> <li>• Produce financial scorecards for each PA in the critical landscape</li> <li>• Create a financing plan, including co-financing commitments and incremental costs analysis;</li> <li>• Compile the information from the other consultant and finalise the project document.</li> </ul>
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<sup>1</sup> **Dollar amount per person week for the local consultant is consistent with the Uganda UN Rates for consultants with a Masters Degree and over 10 years experience (including some international experience) in their relevant field.**

**2. Exchange rates are subject to change**

**3. Dollar amount per person week for the international consultant is consistent with the Uganda UN Rates for international consultants at Senior Specialist level.**

**Total Budget and Work Plan**

<b>Award ID:</b>	Fill in (To be filled upon approval)
<b>Award Title:</b>	PIMS 4592 BD PPG: Conserve savannah wood land Kidepo Uganda BD Project
<b>Business Unit:</b>	UGA10
<b>Project Title:</b>	PIMS 4592 BD PPG: Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo
<b>Project ID:</b>	<b>Critical Landscape in North Eastern Uganda</b> 00079404
<b>Implementing Partner (Executing Agency)</b>	National Environment Management Authority Uganda Wildlife Authority

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2011 (USD)	Amount 2012(USD)	Total (USD)	See Budget Note: (see Annex A)
<b>OUTCOME</b> Project Scope and Strategy defined, and GEF Full Proposal documentation prepared and approved.	<b>NEMA or UWA</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	17,000	16,000	33,000	
				71300	Task force	30,000	12,000	42,000	
				71600	Travel	12,000	14,819	26,819	
					Miscellaneous	0	0	0	
					<b>Sub-Total GEF</b>	<b>59,000</b>	<b>42,819</b>	<b>101,819</b>	

**Summary of Funds:<sup>1</sup>**

	2011	2012	Total
<b>GEF</b>	59,000	42,819	101,819
<b>GoU</b>	180,000	130,000	310,000
<b>TOTAL</b>	<b>239,000</b>	<b>172,819</b>	<b>411,819</b>

<sup>1</sup> Summary table should include all financing of all kinds: GEF financing, co financing, cash, in-kind, etc.