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

Project Title: NAMA on Integrated Waste Management and Biogas in Uganda

Country: Uganda

Expected CP Outcome(s)/Indicator (s):

Outcome:

Outcome 3.1: By end 2020, natural resources management and energy access are gender responsive, effective and efficient, *reducing* emissions, *negating* the impact of climate-induced disasters and environmental degradation on livelihoods and production systems, and *strengthening* community resilience.

Targets:

- 1) 3.1.1: By end 2018, targeted MDAs have adequate technical, functional and financial capacity to integrate and operationalize NRM and climate change mitigation policies and strategies, including: (a) execution of priority gender-responsive investments that increase energy access and consumption efficiency and promote low-carbon and renewable modern energy services; and (b) scale-up of climate change mitigation/adaptation and disaster-risk management strategies
- 2) 3.1.3: Targeted MDAs, CSOs, media and other non-state actors have adequate technical and functional platforms to engage and empower citizens at all levels for sustainable environment and natural resources; promote access to sustainable energy, bio-diversity conservation and climate change adaptation and mitigation

Initiation Plan Start Date: 15 October 2015

Initiation Plan End Date: 15 October 2016

Programme Component: Sustainable and Inclusive Economic Development (SIED)

ATLAS Project Award: 00090860

ATLAS Project ID: 00096429

PIMS Project ID: 5574

Duration: 12 months

Management Arrangement: DIM

Total budget: \$150,000

Allocated resources:

- GEF \$ 100,000
- UNDP \$ 50,000

AGREED BY UNDP


ALMAZ GEBRU,
COUNTRY DIRECTOR

SIGNATURE

DATE: 16/10/2015

A. Brief Description of Initiation Plan:

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 (see GEF PIF attached in Annex II) into a fully formulated project document. The final outputs of the initiation plan include the following: a) a UNDP-GEF project document, which would include as Annexes the Social and Environmental Screening Procedure (SESP), Letter of Agreement on Direct Project Costs, if relevant, and the detailed GHG calculations; b) [GEF CEO endorsement template](#); c) GEF climate change mitigation tracking tool; and d) co-financing commitment letters ready for submission to UNDP and GEF.

B. Project preparation activities:

A. Component A: Technical review

I. Baseline studies:

- A baseline analysis should be conducted outlining the current situation in the waste sector in Uganda, particularly in the project cities of Jinja, Mbarara, and Mbale, the projected situation without the GEF project, and any associated baseline projects. The baseline projects would include ongoing and planned initiatives by the government and development partners in the waste sector.
- Since the GEF project is proposing to set up waste-to-energy plants, the situation analysis should include the following information on the electricity sector: the electricity mix, the prevailing tariffs, and the current legislation and regulations governing the sector, for example are IPPs allowed, PPAs, feed-in-tariffs, the utility set up, grid codes, etc.
- The PPG team should review the experience of other countries in East Africa with biogas technology. For example, Africa's first grid-connected biogas plant was recently commissioned in Kenya, at an 800 hectare farm. In addition, Tanzania just launched a wastewater treatment and biogas generation project at a winery in Arusha, with funding from SIDA.
- The project formulation team should perform a detailed barrier analysis of the main barriers impeding the widespread application of effective waste management practices, including biogas energy technology and wastewater treatment. The barrier analysis should be customized to the Uganda context and should concentrate on the key barriers that the project will address. Particular attention should be paid to any constraints or barriers that may be in place for financing renewable energy projects.
- A gender assessment should be carried out to fully gauge the gender implications in the waste sector in Uganda, identify possible interventions that can narrow the gender gap, and develop specific indicators and targets related to gender equality. One possible indicator could include increase in women's income, for example.

II. Environmental and Social Impact Assessment (ESIA): Based on the attached pre-screening, the proposed project triggers some of the performance standards and therefore a full Environmental and Social Impact Assessment (ESIA) must be carried out. The ESIA analyzes the project's potential adverse impacts and risks, in quantitative terms to the extent possible, and defines a set of social and environmental mitigation and management measures to be taken during the implementation of the project to avoid, minimize, or manage for risks and adverse environmental and social impacts. The ESIA must conform to the requirements of UNDP's Social and Environmental Standards, the host country's environmental assessment laws and regulations, host country obligations under international law, and core human rights treaties.

III. Description of project strategy and incremental reasoning:

- In proposing a business model for the integrated wastewater treatment and biogas plants, one potential model that should be considered would be one in which the public sector retains the ownership of the plant, but the operations, management and maintenance would be outsourced to private companies. There should be a clear vision / strategy for increased private sector participation.
 - The project formulation team should identify the specific sites for intervention. The PIF proposes construction of one biogas plant at an existing compost facility in Jinja for demonstration and capacity development purposes. The biogas expert should determine the feasibility of this proposed intervention. Issues to be considered are: quantity and quality of waste streams for biogas digestion, willingness of the existing project to integrate biogas into the existing project, whether a commercial approach is feasible, are there opportunities for PPP, and is there willingness to invest by the project owner and local financial institution.
 - Information should be provided on the expected financial viability of the integrated wastewater treatment and biogas plants. What would be the levelized cost of electricity (LCOE) of the electricity produced? How would it compare to the normal tariffs?
 - The GEF project should generate the data and detailed analysis required to put together a Green Climate Fund (GCF) proposal at a later stage.
 - As per GEF comments at the PIF stage, the Project Results Framework should explicitly state that the project will establish standardized baselines for calculating emission reductions, carry out MRV, and register the NAMA on the UNFCCC NAMA Registry.
- IV. Integration with development plans, policies, budgets and complementary projects: The project should be fully integrated and aligned with Vision 2040, the National Development Plan, the national Waste Management Policy, the National Climate Change Policy, the Renewable Energy Policy, the Second National Communication, and the Technology Needs Assessment, among other key development plans and policies.
- V. Completion of GEF focal area tracking tool: GEF climate change mitigation tracking tool. In calculating the expected GHG emission reductions, a determination should first be made of how waste is currently disposed of and managed in the three target cities, most likely the baseline is open burning of waste and unmanaged shallow waste sites. Where possible, the GHG benefits from methane recovery and heat production should also be calculated.
- VI. Stakeholder consultations during technical review: Mobilize and engage 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 SMART indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- II. Definition of monitoring and evaluation (M&E): 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.
- 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 project will be decided. This will include identification of the Project Board.
- 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. 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: Intensive consultations will be carried out with government, private sector, civil society and development partners during project design so that all key actors are engaged to ensure that they are all well informed about the proposed initiative in order to strengthen national ownership. It is particularly important that the Country Office and PPG team meet with GIZ so that they are aware of and fully on board with the proposed project. Negotiations on co-financing with key stakeholders carrying out projects of relevance to the proposed project will be carried out.

The proposed sources of co-financing as stated in the PIF are:

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Donor Agency	GIZ	Grants	500,000
Donor Agency	African Development Bank	Grants	4,000,000
GEF Agency	UNDP	Grants	200,000
Donor Agency	KfW	Grants	3,000,000
Private Sector	Uganda Energy Credit Capitalization Company	Loans	2,000,000
Recipient Government	National Water and Sewerage Corporation	Grants	2,000,000
Recipient Government	National Environment Management Authority	In-kind	300,000
Total Co-financing			12,000,000

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

Following this workshop, the international consultant – with strong support from the national consultant – will move as quickly as possible to finalize the complete package of documentation for clearance internally by UNDP for submission to the GEF Secretariat. Once GEF Secretariat comments have been received, the international consultant (with support from the national consultant) will prepare a ‘UNDP Response to GEF Secretariat Comments’ and then make changes to the text of the UNDP project document and Request for CEO Endorsement with the ultimate objective of obtaining GEF approval of the full project.

The complete documentation package to be submitted by the PPG team should include the following documents:

- Finalized UNDP Project Document with all relevant annexes
- Finalized Request for CEO Endorsement
- Finalized GEF Climate Change Mitigation Tracking Tool
- Finalized Social and Environmental Screening Procedures (SESP)
- All co-financing letters.

To finalize the documentation, the team of consultants, led by the international consultant, need to take into account comments and feedback received from the following stakeholders:

- Key stakeholders in Uganda (Government, Private Sector, NGOs)
- UNDP Uganda
- UNDP-GEF Regional Service Centre and UNDP-GEF HQ (New York)
- GEF Secretariat

Component D should see the complete documentation package being formally approved by the GEF Secretariat.

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

PPG Activity	Timeframe (in months) ¹												Responsibility	Budget US\$	
	1	2	3	4	5	6	7	8	9	10	11	12			
A. Technical review														International consultant, national consultants	57,600
B. Institutional arrangements, monitoring and evaluation														International consultant, national consultants, CO	63,200
C. Financial planning and co-financing arrangements														National consultants, CO	12,400
D. Validation workshop														International consultant, national consultants, CO, RTA	16,800

D. Total Budget and Work Plan:

Award ID:	00090860
Award Title:	NAMA on Integrated Waste Management and Biogas in Uganda
Business Unit:	UGA10
Project Title:	NAMA on Integrated Waste Management and Biogas in Uganda
Project ID:	00096429
Implementing Partner (Executing Agency)	United Nations Development Programme (Uganda Country Office)

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

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for project "NAMA on Integrated Waste Management and Biogas in Uganda"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	72,000	A
				71300	Local Consultants	19,200	B
				71600	Travel	3,800	C
				74500	Miscellaneous Expenses	2,500	D
				75700	Trainings, workshops	2,500	E
				Sub Total GEF		100,000	
				71600	Travel	37,500	C
		04000	TRAC	74500	Miscellaneous Expenses	2,500	D
				75700	Trainings, workshops	10,000	E
				Sub Total TRAC		50,000	
					PROJECT TOTAL	150,000	

Budget notes:

Budget Note	Items	Total estimated person weeks	Budget (\$)	Explanation
A	International GEF Project Design Specialist	16	48,000	Please see Annex 2 for key responsibilities
A	Biogas Expert	4	12,000	
A	Social and Environmental Safeguards Expert	4	12,000	
B	Waste Management Expert	20	16,000	
B	Gender Expert	4	3,200	
C	Travel		41,300	This will include travel and per diems for the international consultants as well as field missions for both national and international consultants. Travel cost of invited resource people to various meetings.
D	Miscellaneous Expenses		5,000	Contingency expenses
E	Trainings		12,500	Local level consultations, including travel cost for participants as required.

Annex 1: GEF CEO PIF approval letter



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Naoko Ishii
CEO and Chairperson

September 14, 2015

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:	9210
Agency(ies):	UNDP
Agency ID:	5574 (UNDP)
Focal Area:	Climate Change
Project Type:	Full Size Project
Country(ies):	Uganda
Name of Project:	NAMA on Integrated Waste Management and Biogas in Uganda
Indicative GEF Project Grant:	\$2,170,030
Indicative Agency Fee:	\$206,153
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
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	\$82,461	\$123,692	\$206,153

This PIF clearance and PPG 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 ensure that your final project

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Ms. Adriana Dinu

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September 14, 2015

document, with all Secretariat and Council comments fully addressed, is submitted such that CEO endorsement can be provided within 18 months of Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson

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

Annex 2: Summary of Consultants Financed by the Initiation Plan

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
International	GEF Project Design Specialist and PPG Team Leader	3,000	16	<p>The GEF Project Design Specialist is responsible for coordinating the work of all other consultants, and will ensure the quality and timely preparation of all reports and documentation, with two missions to Uganda of approximately 5 working days each mission. The consultant will carry out the following tasks:</p> <ul style="list-style-type: none"> • Provide an overall orientation to the PPG team in relation to GEF requirements for project planning and monitoring. • Provide methodological guidance for data collection related to project planning and monitoring. • Compile and share with the national PPG team and stakeholders the international best experience in integrated waste management, including analysis of any relevant GEF projects. • Facilitate the PPG inception and validation workshops. • Based on the inputs from national experts and in close cooperation with the key national stakeholders compile final baseline/situational analysis for the FSP. This will include a precise definition of baseline projects. • Based on the inputs from national experts and the best international practice, calculate the expected GHG benefits and complete the CCM tracking tool. • Analyze the socio-economic benefits of the proposed interventions at national and local levels. • Based on international experience, assist in reconfirming/elaborating the project strategy. • Based on national experts' inputs, develop the project monitoring and evaluation system, including indicators, baselines and targets. • Elaborate the Project Results Framework. • Prepare M&E plan and budget. • Prepare an indicative Procurement Plan for the project. • Help build financing partnerships and mobilize co-financing resources. • Based on national experts' inputs, draft TORs for the key consultants/contracts to be employed by the project. • Based on national experts' input, elaborate Stakeholder Involvement and Public Participation plans. • Develop action plan for incorporation of gender

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
				<p>aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP guidance.</p> <ul style="list-style-type: none"> Conduct the social and environmental safeguard procedure (SESP) following the UNDP procedure, producing the checklist and summary report. <p>The key deliverable of the GEF Project Design Specialist will be a final comprehensive project document and the CEO Endorsement Request in a style accessible to senior policy makers. The document should make full use of figures, diagrams and boxes to bring out key points and summarize findings emerging from the PPG phase.</p>
International	Biogas Expert	3,000	4	<p>The Biogas Expert will be expected to visit the three project sites in Jinja, Mbarara and Mbale and will be responsible for the following tasks:</p> <ul style="list-style-type: none"> Assess the feasibility of constructing a biogas plant at the existing compost facility in Jinja for demonstration and capacity development purposes. Issues to take into consideration include: quantity and quality of waste streams for biogas digestion, willingness of the existing project to integrate biogas into the existing project, whether a commercial approach is feasible, are there opportunities for PPP, and is there willingness to invest by the project owner and local financial institution. Assist in the collection of key baseline data required to design Component 2 of the project on Demonstration and investment in integrated wastewater treatment and biogas plants, notably the volume and composition of municipal solid waste and wastewater from agro-processing industries in the three municipalities. As soon as accurate information of the quantity and quality of waste streams is available at the project sites in Jinja, Mbarara, and Mbale, provide advice on the best possible biogas technology for a particular site. Review the experience of other countries in East Africa with biogas technology, especially Kenya and Tanzania, and synthesize best practices. Identify potential technology providers for the integrated wastewater treatment and biogas plants. Calculate the expected GHG benefits from the proposed interventions. <p>The main deliverable of the Biogas Expert will be a concise report encompassing the points outlined above.</p>
International	Social and	3,000	4	The Social and Environmental Safeguards Expert

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
	Environmental Safeguards Expert			<p>will be responsible for the following tasks:</p> <ul style="list-style-type: none"> • Delineate areas to be covered by the Environmental and Social Impact Assessment • Briefly describe the key environmental and social issues to be analysed • Establish baseline data and information to be collected • Propose mitigation measures and monitoring programs • Prepare an Environmental and Social Management Plan (ESMP) and a schedule for implementing the ESMP • Identify public consultation and information disclosure expectations <p>The key deliverable of the Social and Environmental Safeguards Expert will be a full Environmental and Social Impact Assessment (ESIA), including a management plan to mitigate social and environmental risks associated with the proposed GEF project.</p>
Local	Waste Management Expert	800	20	<p>Under the guidance of the PPG Team Leader, the Waste Management Expert will act as the lead national consultant to ensure generation of necessary information for project formulation. The expert will coordinate local consultants' inputs and provide technical support for data/information collection and analysis for developing the project document and CEO endorsement request. The expert is expected to:</p> <ul style="list-style-type: none"> • Collect the necessary data for project formulation, especially on the baseline situation • Work in a team spirit under the leadership of the Lead Consultant to complete the deliverables outlined in the Initiation Plan • Assist in preparing the final draft of the project document and Request for CEO Endorsement • Analyze the project baseline in terms of current policies, projects and stakeholders that are relevant to the project • Identify specific sites for project intervention and collect baseline information about the targeted communities, including socio-economic data disaggregated by gender • Organize and coordinate consultations with government and non-government agencies, local project stakeholders and potential project partners • Organize and facilitate technical and consultative meetings with local government and community stakeholders to assist in project definition • Propose, based on participatory stakeholder consultations, a capacity development strategy

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
				<p>for the project in line with the expected scope of the project</p> <ul style="list-style-type: none"> • Develop a communications strategy with communities and facilitate their participation • Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements • Assist in the design of the project's knowledge management and communications strategy • Help build financing partnerships and mobilize co-financing resources. <p>The tasks foreseen will be carried in close collaboration with the lead consultant, UNDP Uganda and the UNDP-GEF Regional Service Centre and the Ministry of Water and Environment.</p>
Local	Gender Expert	800	4	<p>The Gender Expert will carry out a gender assessment of the proposed project in close consultation with government and civil society partners, especially the Waste Pickers Alliance Uganda and women's groups. The gender assessment will:</p> <ul style="list-style-type: none"> • identify the different forms of discrimination faced by waste pickers, especially women and girls; • determine the implications of gender in the informal waste management sector in Uganda; • propose possible interventions by the project to narrow the gender gap and address the issue of gender equity; and • develop specific indicators and targets related to gender equality. One possible indicator could include increase in women's income, for example.

Note: Consultants' rates (both local and international consultants) are indicative and subject to procurement guidelines of agencies and governments. Consultants will be hired in line with UNDP rates and procedures. Also, in accordance with both UNDP and GEF policies, no GEF project resources will be used to pay any government, agency, or NGO staff personnel.