



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

Project Title: Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo

Country: The Republic of Congo

UNDAF Outcome: D'ici 2018, les institutions et les populations, notamment les femmes, appliquent les politiques de gestion d'un environnement durable intégrant les mesures d'adaptation et d'atténuation aux changements climatiques

UNDP Strategic Plan Outputs: La croissance et le développement sont inclusifs et durables, générant les capacités de production nécessaires pour créer des emplois et des moyens d'existence pour les pauvres et les exclus.

Expected CPAP Outcome: Les capacités d'organismes publics et des OSC des zones cibles sont renforcées pour gérer les écosystèmes forestiers conformément aux principes du développement durable afin de garantir leur soutenabilité à la fonction de puits de carbone

Country Programme Period: 2014 - 2018
ATLAS Project Award: "
ATLAS Project ID: "
PIMS Project ID: 5609
Start Date: July 2015
End Date: December 2015
Management Arrangement: DIM

Total budget: \$150,000
Allocated resources:
GEF \$150,000

AGREED BY UNDP RESIDENT REPRESENTATIVE


Signature

22/07/2015
Date: day/month/year

A. Brief Description of Initiation Plan:

The objective of the PPG is to develop a full-sized project that aims to support the Government of The Republic of Congo to address the effective management of globally significant protected areas in the Congo Basin and reducing poaching and illegal trade in threatened species through new and enhanced laws, regulations, and policies. The project will be led by the Ministry of Forest Economy and Sustainable Development, but will be implemented with a wide range of other Government Organizations and CSOs including Congolese Biodiversity Institute and Congolese Wildlife Conservation Authority.

UNDP Congo, working closely with the UNDP-GEF unit based at the Regional Service Centre for Africa, will jointly lead the project development process and manage the PPG budget. The PPG Atlas budget is presented in Section III "Total Budget and Work Plan". UNDP-GEF will recruit the International & Local Consultants, in collaboration with UNDP Congo. UNDP Congo will be responsible for the selection and recruitment of the remaining PPG consultants in consultation with the UNDP-GEF Regional Technical Adviser (RTA), developing TORs, arranging travel and meetings, maintaining project disbursements. Quality assurance and technical advice for the full project development will be provided by the UNDP GEF RTA at the Addis Ababa Regional Service Centre.

A PPG working group will be established to guide, review and endorse PPG outcomes. The Ministry of Forest Economy and Sustainable Development (MEFDD) Ministry of Tourism and Environment will chair the Working Group. Regular consultations (working meetings) will be carried out among key PPG stakeholders to ensure that the PPG phase delivers the full size project document in line with UNDP and GEF requirements.

This Project falls under GEF-6 Programme 3 Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development, comprising one global coordination project and a series of national child projects. The global coordination project Coordinate Action and Learning to Combat Wildlife crime Project, is also being prepared by the World Bank and UNDP. The PPG will work closely with the global coordination project PPG to ensure synergies of the PPG work and project implementation, as well as to eliminate duplication of efforts. The PPG will be supported closely by the environment team of the UNDP Country Office, the Regional Technical Adviser in Addis Ababa and the UNDP Global Wildlife Enforcement Adviser.

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with a view to further developing the approved project concept (see GEF PIF attached in Annex 2) into a fully formulated project document. The final output of the initiation plan will be a [UNDP-GEF project document](#) and [GEF CEO endorsement template](#), with GEF Tracking Tools ready for submission to UNDP and GEF.

B. Project preparation activities

Component A: Technical review

I. Baseline studies:

The following baseline studies will be conducted as project preparation.

(a) Collaboration and expansion of the barrier description outlined in the PIF.

(b) Full justification and detailed descriptions of specific outputs proposed in the PIF, through the following assessments:

1. Review of the policy, legal and institutional framework for wildlife trade in Congo

In the PIF it was described that there is lack of robust enabling framework (policies, etc.) for protected areas management and IWT. In this PPG phase, a thorough analysis of available policy, legal and regulatory environment,

and the institutional frameworks will be conducted and suggest suitable framework on the findings of the report in consultations with government stakeholders and other concerned stakeholders; consider institutional and regulatory reform.

2. Analysis of Information-sharing and database systems relating to wildlife trade in Congo

In the PIF it was described that there is lack of capacity and corruption within the law enforcement and legal system, and insufficient information and tools to understand, regulate and combat illegal wildlife trade. The PPG will: a) conduct a nationwide assessment of the existing databases relevant to wildlife crime; review the types of data stored in those databases; understand existing information-sharing agreements both between national government agencies and between other government agencies and international agencies (e.g. INTERPOL); and document current data management protocols. This will include compiling baseline data on the rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases, and the number of regional cooperation enforcement actions. The analysis will produce recommendations for the full project on how information-sharing systems and databases should be developed, within government agencies, between government agencies, with NGOs, and with international enforcement agencies. The baseline data collected will inform the selection of key target trade routes (airports, borders, markets).

3. Assessment of the range of financial and cost recovery incentive mechanisms

This assessment will identify ways in which law enforcement against forest and wildlife crime can be made more effective, and mechanisms to recover costs for Government from both illegal and legal wildlife trade. The analysis will focus on wildlife crime, reviewing the different types of offences, the penalties levied (confiscations, fines or imprisonment), and the overall disincentive for the offender. This will be used to identify the weakest points in the enforcement chain, as a focus for investigation of the causes of those weaknesses. The assessment will also investigate appropriate mechanisms by which Government could increase the economic disincentive for illegal wildlife trade through cost recovery mechanisms, which, at the same time, would generate revenues for government. This will include an estimate of the current state revenues from regulation of wildlife trade and illegal wildlife trade seizures. Finally, the analysis will investigate the current incentives for the legal wildlife trade (for example taxation systems) and identify opportunities to both incentivise sustainability and increase revenue collection.

4. Design of a Capacity-building programme

This assessment will work with relevant government agencies and government training centres to design the capacity-building program, including determining the standard operating procedures (SOPs), guidelines, training modules, etc, needed to improve capacity and understanding across government to effectively address wildlife trade. Technical areas for capacity-building should include understanding of the law and regulations, prosecutions, evidence, wildlife forensics, data recording and information sharing, international conventions and regional cooperation, and cybercrime. Separately, the PPG team will adapt the UNDP Capacity Development Scorecard for assessments of capacity and understanding of wildlife trade, and use the scorecard to determine current capacities and conduct training needs assessment for government officers in target landscapes and trade routes.

5. Socio economic survey and stakeholder and gender assessment

For selected target areas and sites including key trade ports and ecosystems, this PPG output will support In-depth assessment of socioeconomic baselines in the selected demonstration landscapes. It will elucidate the socioeconomic outcomes (both positive and negative) of enhanced action on illegal wildlife trade. For the demonstration landscapes a detailed assessment of local socioeconomic context and local stakeholders will be conducted, in particular with regard to local and indigenous communities, to define profile and number of local stakeholders and beneficiaries, and potential benefits which the project can bring about. The assessment will identify social structure on the ground and governing customary laws, local stakeholders' responsibilities pertaining to wildlife management, potential roles in the project and their capacity needs for fulfilling the roles. It will be done through extensive consultation processes and seek their consent to the project and their full participation in project development and implementation. In the consultation process, a gender assessment will be incorporated reviewing the role of both females and males in the project development and implementation and

potential impacts of the project on each gender group. A full stakeholder involvement plan and gender mainstreaming plan will be developed, specifying community engagement through the 3 project components.

(c) To collect the baseline data for indicators. These include at a minimum exact means of measurement, baselines and targets for the following indicators: (i) state revenue from regulation of legal wildlife trade and enforcement against illegal wildlife trade; (ii) institutional capacity for wildlife trade regulation and enforcement against illegal wildlife trade applying the UNDP capacity scorecard; (iii) rates of inspections or cases, seizures, arrests and successful prosecutions of wildlife crime cases, both within Congo and regional enforcement cooperation cases involving Congo; (iv) trade of key species along key trade routes measured by status in wild trade volume, seizures, arrests, prosecutions; (v) trade volumes of 10 commonly traded species, including trade volume, prices and revenue; (vi) landscape-level indicators, including the METT scorecard for target protected areas, wildlife populations, and law enforcement effectiveness.

(d) Additional elements in assessments will be included as required to address technical issues and questions raised by the GEF Sec; Council members and STAP when comments are received.

II. Undertake full assessment to address any opportunities/risks identified during a Social and Environmental Pre Screening of the project PIF.

Pre-screening will be conducted during the PPG period - a full Social and Environmental Screening Process will entail; (i) Conduct detailed socioeconomic and environmental context assessment to mitigate any negative consequences to local populations, particular ethnic groups or to men, women and children. In particular, potential gender issues will be closely looked at and women will be proactively considered for involvement in project pilot activities related to land use planning and implementation, incentive mechanisms application and local community capacity development support; (ii) Fully integrate the results in the project plans and activities, including selection of target landscapes, and develop a clear monitoring mechanism with clear indicators during the implementation; (iii) List all potential environmental and social impacts that the implementation of the above-mentioned outputs/activities could potentially have; (iv) Clearly articulate the positive environmental and social impacts that will result from the implementation of different components of the project in the project document; (v) Rate the likelihood of the listed negative impacts materializing during the implementation of the project using high, medium and low likelihood ratings; (vi) Rate the level of impact of the listed negative social and environmental impacts using low, moderate and high level ratings; (vii): Develop brief draft mitigation strategies for the listed negative environmental and social impacts that were rated as high likelihood of occurring and with a high level of impact; (viii) Engagement with local communities will be ensured during the PPG phase for joint planning of local level activities, and prior informed consent mechanisms will be integrated in the project activities.

III. Identification of specific sites for intervention and landscape profiling

Under Component 3, enforcement, judicial and forensic capacity will be strengthened to support criminal investigations and prosecution of wildlife crime cases. A Ranger Training Centre will be established in Odzala-Kokoua National Park and >2 other protect areas (Lossi Gorilla Sanctuary and Ntokou-Pikounda National Park)

to develop national capacity for preventing poaching and other wildlife crimes. These will defined during the PPG stage.

IV. Integration with development plans, policies, budgets and complementary projects:

Further to description in Component 1 &2 of the PIF; analyse weaknesses and gaps in these, and identify opportunities for joint action/identification for co-financing. In particular, complementarity and potential for synergetic impact with the GEF-6 Programme 3 will be assured and concrete coordination mechanisms will be developed during the PPG.

V. Completion of the GEF focal area tracking tools:

There is currently no programme 3 tracking tool. However, the PPG will produce project specific tracking tools to gauge management effectiveness of target ports or markets based on existing tools. UNDP Capacity Development Scorecard will be adapted to suite the specific context of this project and applied to establish a baseline capacity level of key agencies and to set targets. Management Effectiveness Tracking Tool for target protected areas may be applied in PAs within selected landscapes as appropriate.

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.

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 indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators. The result framework indicators should include: (i) state indicators (e.g. spatial coverage, ecosystems quality, species populations or degree of land degradation); (ii) pressure indicators (threats and drivers); and (iii) response 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. Define gender mainstreaming plan: The gender mainstreaming plan will outline the principles and guidelines for mainstreaming gender in individual outputs, in order to ensure the equal participation of women and men and to ensure no adverse impact on either sex.
- V. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board. Coordination arrangement with related initiatives and organisations will also be elaborated, with clear statement of complementarity.
- VI. 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.

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: 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. In addition, the PPG funds will support carrying out a targeted capacity assessment of local communities to engage in community based natural resource management and help define strategic interventions to address gaps. Document these consultations.

Component D: Validation workshop

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

Component E: Completion of final documentation

- I. Consolidation of all technical and consultation inputs into a clearly written UNDP ProDOC document with all relevant sections and annexes
- II. Completion of a CEO Endorsement Request form
- III. Translation of UNDP ProDOC document into the national language (only if required by government) and any further documentation required for preparing implementation
- IV. Filled SESP template and
- V. all co-financing letters ready to submit to the UNDP and the GEF Secretariat,

Component F: Project Operationalisation

The PPG team will support immediate operationalization of the project, including: development of ToRs and sub-grants/contracts, preparation of the Annual Workplan, development of the inception report and the inception workshop.

Note: templates may be subject to change, the person responsible for this consolidation and drafting will be required to obtain guidance by the UNDP-GEF Regional Technical Adviser and UNDP CO on applicable formats and templates and ensure that his/her work is compliant with UNDP-GEF and UNDP CO requirements.

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

PPG Stages	Timeframe (in months) ¹											
	J	A	S	O	N	D	J	F	M	A	M	J
Development of a skeleton ProDoc based on existing literature and analysis	█	█										
New Analysis and Consultations – Component A		█										
Component B – Institutional Arrangement and M&E		█										
Component C – Financial planning and co-financing investments		█										
Component D – Validation Workshop			█									
Component E – Completion of Final Documentations			█									
GEF Submission and Response to Comments				█								
Component F – Preparation for Project Operationalisation					█							
Contingency Period						█						

D. Total Budget and Work Plan: :

Award ID:	XXXX
Award Title:	XXXX
Business Unit:	CON10
Project Title:	Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo
Project ID:	PIMS 5612
Implementing Partner (Executing Agency)	UNDP

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$
Project preparation grant to finalize the UNDP-GEF project document for project “Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo”	UNDP	62000	GEF TRUSTEE	71200	International Consultant	70,000
				71300	Local Consultant	45,000
				71600	Travel	22,000
				72400	Communication	3,000
				72500	Stationary	1,000
				74500	Miscellaneous Expenses	1,000
				75700	Trainings/Workshops	7,000
					PROJECT TOTAL	150,000

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

Annex 2: Approved PIF