



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Strengthening of multisector and decentralised environmental management and coordination to achieve the objectives of the Rio Conventions in the Union of Comoros

Country: Union of Comoros

Initiation Plan Start Date: 01 March 2016

Initiation Plan End Date: 28 Feb 2017

CPAP Programme Component:
ATLAS Project Award: 00093770
ATLAS Project ID: 00098015
PIMS Project ID: 5553

PPG Duration: 12 months from IP signature
Management Arrangement: DIM

Total budget [A+B]: **US\$ 225,000**

Allocated resources in atlas [A]:

- GEF US\$ 50,000
- UNDP US\$ 25,000

Other contributions [B]:

- Central Government in kind US\$ 100,000
- Island Government /communities US\$ 50,000

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Emma Ngouan Anoh

Signature



Date: *day/month/year*

18/02/2016

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 1) 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 ready for submission to UNDP and GEF.

B. Project preparation activities:

A. Component A: Technical review

I. Baseline studies:

In the baseline, with the support of international financing institutions and other development partners, the Union of Comoros decentralises the planning, decision making and management of natural resources to the community level and strengthens the local communities' capacities (methodologies, human resources, guidelines, databases, budget allocation systems, surveillance systems, etc.) so that they can play their full role in natural resources management.

During the PPG phase, the current way that implementation of Global Environmental Conventions is integrated in the decentralization process will be analysed and assessed, e.g. in:

- a. The legal and financial decentralization framework;
- b. Mandate and roles of Institutions and Stakeholders;
- c. Relevant databases;
- d. Existing national guidelines for the integration of the MEA into the decentralisation process;
- e. Surveillance system;
- f. Local development plans;

Further analysis of key national entities intervening in decentralised environmental management will be done: Ministry of Production, Environment, Energy, Industry and Crafts, the National Directorate of Environment and Forests (DNEF), the National Research Institute for Agriculture, Fisheries and Environment (INRAPE), CNDD (and CDIs), FGE their field agencies operating in the pilot regions. For each of these national agencies analyse:

- Overall mandate;
- Mandate with regards to global environment;
- Mandate with regards to decentralization process;
- Main ongoing projects and partnerships with international partners;
- Main capacity barriers to implementing mandate with regards to global environment.

II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.

III. Identification of specific sites for intervention

In order to outline a strategy for developing decentralized capacity to manage the global environment under the project:

- Select 3 pilot zones, representing diverse conditions across the three main islands of the country;

- Describe the current situation in the 3 pilot zones, including the ongoing activities in the communes;
- Identify current supportive roles of the CNDD and CDIs, FGE, the key Ministries and their decentralised field agencies.

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

As indicated in the baseline, a vast number of national and regional initiatives exist with which the project will be linked (see paragraph II.2 of PIF). The Ministry in charge of environment will work closely with the Ministry in charge of decentralization and the General Planning Commission to ensure that the initiatives listed in the baseline will be coordinated in order to create a joint vision on the results and the potential impacts of their joint activities in the implementation context of the Accelerated Growth and Sustainable Development Strategy (SCA2D) for the period 2015-2019.

A connection will also be established with the Regional Economic Committee COMESA to align the activities in the Comoros with those of other islands in the region, which will assist in monitoring cross-border efforts of development partners involved in wider parts of the Agulhas LME. Complementarities and synergies between national and regional initiatives, avoiding overlaps, will be further analysed during the phase PPG to identify such programme and project elements, tools and activities that have potential for wider use in the intervention area. Most important among these have been mentioned in the PIF, particularly "Capacity Development for environmental management and for multi-sectoral coordination of sustainable development in the Union of the Comoros (CNDD)", the European Development Fund strategy of the cooperation EU-Comoros for the management of natural resources, and EDF projects under the regional envelope and managed by the IOC, the French Development Agency (AFD), and the foreseen World Bank project: "ROUND 31: COMOROS – COASTAL RESOURCES CO-MANAGEMENT FOR SUSTAINABLE LIVELIHOOD" (financed through the Japan Social Development Fund Grant).

During the PPG phase, more detailed and additional information will be provided on these initiatives and others to complete the base line and ensure that the current project will rely on the most appropriate past and ongoing initiatives and their evaluations. These initiatives will be the basis on which the current project will build in the intervention area.

During the PPG diagnostic phase, close ties with the National Policy of Fairness and Gender Equality (PNEEG) will be established, which will ensure strong attention to gender aspects in the formulation of the project and the execution of activities of the project.

V. Completion of GEF focal area tracking tool: CCCD projects do complete Capacity Development Scorecards

One way to ensure mitigation of risks is to regularly apply the Capacity Development Scorecard (GEF Tracking Tool), which ensures that the project stakeholders learn how to consolidate capacity building in the institutional framework for environmental governance. This Scorecard was elaborated specifically for the development of cross-cutting capacities (CCC) projects, inspired by recent capacity building work by GEF, its implementing agencies and external research. Together with other tools and methods set out in the Guidelines for the Capacity Development in GEF projects which will be incorporated into the project and its overall M&E plan.

- VI. Completion of Social and Environmental Screening template
The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. The Social and Environmental Screening Procedure provides guidance on how to answer the 6 key questions of the Screening¹.
- VII. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Main stakeholders have been identified in part II.1.2 of the PIF. 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 SMARTError! Bookmark not defined. 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.
The Ministry in charge of environment, through the DNEF, will be the implementing agency for the project. The project will be carried out in accordance with the procedures of the Government of the Comoros and UNDP for the Comoros. The project management unit will be located within the DNEF. As such, DNEF will be responsible for coordination; facilitation of the participation of stakeholders in the identification of the project activities and institutional arrangements; secure co-financing from development partners; facilitate the organization of meetings during PPG implementation and validation of the Prodoc at national and local levels and make a technical contributions to the program Prodoc. The DNEF will establish the necessary mechanisms for planning, results monitoring, and the implementation of the project management activities. The UNDP country office will oversee and support the DNEF if and when necessary. The PPG process will serve to define more precisely the management, coordination and consultation mechanisms.
- 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.

¹ <http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html>

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: Here, the stakeholder organisations in the selected pilot areas on the 3 main islands will be asked for commitment to implementing the project; MOUs between the different main governmental stakeholders and their international partners (DEFN, Worldbank, AFD, EDF, IOC) will be elaborated.

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.

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

PPG Activity	Timeframe (in months) ²												Responsibility	GEF Budget US\$ (estimated)	
	Mar 16	Apr 16	May 16	Jun 16	Jul 16	Aug 16	Sep 16	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17			
Recruitment of Consultant (s)	X	X												UNDP	
Component A: Technical review		X	X	X	X	X	X	X						UNDP	25,000
Component B: Institutional arrangements, monitoring and evaluation				X	X	X	X	X						UNDP	10,000
Component C: Financial planning and co-financing investments:					X	X	X	X						UNDP	10,000
Component D: Consultation and Validation workshop		X						X						UNDP	5,000
Submission to GEF Sec/Review												X		UNDP	
Operational and Financial Closure											X	X		UNDP	

² 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
Cross-Cutting Capacity Development Project Comoros

D. Total Budget and Work Plan :

Award ID:	00093770
Award Title:	00098015
Business Unit:	COM10
Project Title:	"Strengthening of multisector and decentralized environmental management and coordination to achieve the objectives of the Rio Conventions in the Union of Comoros"
Project ID:	5553
Implementing Partner (Executing Agency)	UNDP/DIM in collaboration with Ministry of Production, Environment, Energy, Industry and Craftmanship

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 "Strengthening of multisector and decentralized environmental management and coordination to achieve the objectives of the Rio Conventions in the Union of Comoros"	UNDP	62000	GEF Trustee 10003	71200	International Consultants	20,000	1
				71300	Local Consultants	15,000	2
				71600	Travel	8,000	3
				72500	Supplies	2,000	4
				72300	Materials and good	2,000	5
				74500	Miscellaneous Expenses	1,000	6
				75700	Trainings, Workshops, Conferences	2,000	7
GEF Sub total PPG activities						50,000	
Project preparation grant to finalize the UNDP-GEF project document for project "Strengthening of multisector and decentralized environmental management and coordination to achieve the objectives of the Rio Conventions in the Union of Comoros"	UNDP	04000	UNDP TRAC 00012	71200	International Consultants	10,000	1
				71300	Local consultants	3,000	2
				71600	Travel	1,000	3
				74598	Direct Project Cost	11,000	8
UNDP sub total PPG activities						25,000	
GRAND TOTAL						75,000	

BUDGET NOTES:

1. International Consultant to Develop ProDoc and CEO ER, 45 working days, approx. 450-500 USD/day, including 2 missions for Consultation and Validation workshops
2. Local consultant(s) to undertake background studies as per Annex 2, approx. daily rate: 120-140 USD
3. Travel costs for consultants to travel to Islands
4. Office supplies
5. Materials and goods to support logistics
6. Communication and other miscellaneous cost
7. Consultation and Validation Workshops
8. Recovery of Direct Project Cost from UNDP TRAC funding