



Empowered lives.
Resilient nations.

UNDP-GEF PPG Initiation Plan

Project Title: Managing multiple sector threats on marine ecosystems to achieve sustainable blue growth

Country: Cape Verde

UNDAF Outcome (2018 version): By 2022, all people, particularly the most vulnerable, benefit from enhanced national and local capacity to apply integrated and innovative approaches to the sustainable and participative management of natural resources and biodiversity, climate change adaptation and mitigation, and disaster-risk reduction.

UNDP Country Programme Output: 2.3: Enhanced legal, policy and institutional frameworks are in place for conservation, sustainable use and access, and benefit-sharing of natural resources, biodiversity and ecosystems.

UNDP Strategic Plan 2018-2021 Output: Development Setting B: Accelerating structural transformations for Sustainable Development. Signature solution 4: Promote nature - based solutions for a sustainable planet.

Gender Marker rating: GEN 2

Atlas Project ID (formerly Award ID): 00106034
Atlas Output ID (formerly Project ID): 00106971
UNDP PIMS ID: 5880
GEF PMIS ID: 9705
Management Arrangement: DIM

Total budget: US\$ 100,000
Allocated resources:
• GEF US\$ 100,000



AGREED BY

Nlika Richardson
UNDP Resident Representative

[Handwritten Signature]
Signature

17/01/2018
Day/Month/Year
Date

TABLE OF CONTENTS

I. Brief Description of the Initiation Plan/GEF PPG	3
II. Stakeholder Engagement, public disclosure and other requirements	4
III. GEF PPG ACTIVITIES	5
PPG Component A: Preparatory Technical Reviews & Studies and Stakeholder Consultations.....	5
PPG Component B: Formulation of the UNDP-GEF Project Document, GEF CEO Endorsement Request, and Mandatory and Project Specific Annexes	8
PPG Component C: Validation Workshop and Report	12
IV. Total Budget and Work Plan for GEF PPG.....	13
V. GEF PPG Activities timeframe and budget	16
VI. Mandatory Annexes.....	16
Annex 1: GEF CEO PIF/PPG Approval Letter.....	16
Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)	18
Annex 3a: Comments on the PIF from GEF Secretariat	24
Annex 3b: Comments on the PIF from GEF STAP	27
Annex 3c: Comments on the PIF from GEF Council	30

I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project: Managing multiple sector threats on marine ecosystems to achieve sustainable blue growth. As described in the project concept (PIF), this project aims to *Strengthen systemic and institutional capacity for reducing multiple threats to globally significant marine ecosystems and achieve sustainable blue growth in Cape Verde.*

The following documents are to be consulted as background for the GEF PPG phase:

- PIF approved by GEF Council
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein
- GEF CEO Endorsement Request Template and related guidance
- GEF-6 versions of the appropriate UNDP and GEF Tracking Tool templates and related guidance

The final outputs of the GEF PPG are:

- UNDP-GEF Project Document (ProDoc), using the latest standard template.
- Mandatory annexes to the ProDoc, including gender analysis and action plan, and stakeholder engagement plan, among others, and project-specific annexes.
- GEF CEO Endorsement Request.
- Validation Workshop report (as appropriate for projects with a moderate and high SESP risk rating).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

Key Dates for the GEF PPG

Milestone	Date	Notes
Internal submission date for UNDP-GEF review and clearance	25 August 2018 or earlier	Must be at least two (2) months prior to CEO Endorsement Deadline
GEF CEO Endorsement Deadline after which the project will be cancelled.	23-25 May 2017 + 18 months => 23-25 November 2018	Failure to submit a ProDoc and CEO ER to the GEF Sec by this deadline will lead to the automatic cancellation of the project by the GEF Secretariat.

PPG Management Arrangements

The UNDP Country Office Cape Verde will lead the project development process and manage the GEF PPG budget in full consultation with the UNDP-GEF Regional Technical Advisor. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan.*

As appropriate, a Working Group will guide the GEF PPG team, and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The UNDP Deputy Resident Representative or her delegate will chair the Working Group. Working Group members should include:

- UNDP Country Office in Cape Verde and UNDP-GEF Regional Technical Advisor
- FAO
- Ministry of Agriculture and Environment and National Directorate for Environment
- General Directorate for Marine Resources, Ministry of Economy and Employment
- Ministry of Finance

- AMP – Maritime and Ports Agency (Agencia Marítima e Portuária)
- National Institute for Fisheries – INDP
- ACOPECA - Competent Authority for Fisheries Products (Autoridad Competente para os Produtos de Pesca)
- ASA – Airports and Aerial Security (Aeroportos e Segurança Aérea de Cabo Verde)
- GC / COSMAR - Coast Guard and its Operational Centre for Maritime Security (Guarda Costeira / Centro Operacional Segurança Marítima)
- UNCV-ESM Universidad de Cabo Verde / Escuela Superior do Mar.

The GEF PPG team will be composed of the following:

- International Specialist in Marine PA and Fisheries Management and GEF Project Development (PPG Team Leader)
- International Specialist in Marine Spatial Planning and Sector Mainstreaming
- International Specialist in Marine Invasive Species Pathways Management
- International Specialist in Biodiversity Finance / BIOFIN
- National Specialist in Marine Biodiversity (PPG National Focal Point)
- National Gender Mainstreaming and Local Stakeholder Engagement Specialist

Draft Terms of Reference (TORs) for each team member is included in Annex 2 of this Initiation Plan.

II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS

To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined in UNDP’s Social and Environmental Standards (SES), the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries). A list of these stakeholders will be prepared and included in Annex to the project document.

If the Social and Environment Screening Procedure (SESP) included in Annex to the project document, has an overall safeguard risk rating of moderate or high, the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report must demonstrate strong country ownership and will become a key reference document should an environmental and social safeguard complaint/grievance be filed during project implementation.
2. Before GEF CEO endorsement (if appropriate given the GEF cancellation policy) or at the latest by the LPAC meeting, the UNDP-GEF project document, SESP and related management plans, and other relevant information/documents (e.g. ProDoc annexes) will be made available to the public on the UNDP website or open.undp.org. It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

III. GEF PPG ACTIVITIES

PPG Component A: Preparatory Technical Reviews & Studies and Stakeholder Consultations

The following technical studies and reviews will be conducted, building on the PIF and the comments received about the PIF from GEF Secretariat, GEF Council and STAP (see Annexes 3a-c).

This research should produce the background information required to prepare the ProDoc and GEF CEO Endorsement Request, including but not limited to:

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees developed in consultation with project stakeholders, for a robust Theory of Change (to be prepared in **PPG Component B**, below);
- Review of relevant past and ongoing projects for lessons; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP.

	UNDP CO	UNDP-GEF RTA	PPG Team Leader	MSP & Mainstreaming	IAS	BIOFIN	Marine BD	Gender & Local Stakeholder
			IC	IC	IC	IC	National	National
<ul style="list-style-type: none"> • Regular exchanges between the UNDP Country Office, UNDP-GEF RTA, Government Partners and further stakeholders on the development and finalization of the PRODOC and GEF CEO Endorsement Request package. 	Lead on site	Join remotely	Lead on site or remotely	Join on site or remotely	Join on site or remotely	Join on site or remotely	Join on site	Join on site
<ul style="list-style-type: none"> • PPG inception: <ul style="list-style-type: none"> ◦ at the onset of the PPG, bring together the leading stakeholders from government, partners and UNDP (country office and RTA), as well as the team of PPG consultants to agree on process and roles and quality assurance; depending on timelines and availability, this may involve participants participating online. ◦ prepare a short PPG methodology and work plan outline in consultation with the other consultants with delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs) 	Lead on site	Join on site or remotely	Lead on site	Join on site	Join on site or remotely	Join on site or remotely	Join on site	Join on site
<ul style="list-style-type: none"> • Stakeholder analysis and engagement: <ul style="list-style-type: none"> ◦ building on the tentative list of stakeholders already identified in the PIF, further elaborate the analysis of relevant stakeholder, especially with regard to their contribution and roles in the project; in response to GEF STAP and Council comments, reach out also to Abidjan 	Support	Support	Lead	Support	Support	Support	Support	Support

<p>Convention, ICCAT and the FAO-implemented Canary Current Large Marine Ecosystem project's Strategic Action Programme.</p> <ul style="list-style-type: none"> o determine entry points that will yield the highest leverage for strengthening the management of marine and coastal biodiversity in Cape Verde, including through the emerging national Blue Growth Strategy; o to secure a strong national ownership, engage and sensitise key government representatives and other stakeholders about the project and ensure their full participation and agreement in the development of the project strategy and design. • Identify other relevant existing and planned initiatives, possibly negotiating partnerships to align activities and build synergies, and reflecting this in the project strategy. • Desktop and field-based studies and data collection, to further elaborate the situation analysis and project interventions (building on the PIF). This will include <i>inter alia</i>: <ul style="list-style-type: none"> o review of relevant national and sector development plans, policies and budgets to further respond to and align the project with government goals and priorities; this will include at least those under the Blue Growth agenda, fisheries, maritime transport/ safety, trade, EEZ and coastal defence/national security, maritime industrial and economic development, and biodiversity/PAs/IAS prevention; o research to establish/confirm the baseline investment of the government and its partners in relation to the issues to be addressed by the project, in order to help determine the incrementality of the GEF intervention; this will include at least an update of those baseline investments outlined in the PIF; o an assessment of institutional/technical/individual capacity and capacity development needs for key stakeholder groups on marine and coastal biodiversity, marine living resources, marine protected areas, MPA and fisheries co-management and surveillance, invasive alien species, IMO conventions, biodiversity finance, and sector mainstreaming and marine spatial planning; this will focus at least on Ministry of Agriculture and Environment and National Directorate for Environment, Island Delegations for Agriculture and Environment, General Directorate for Marine Resources, ACOPECSA, Coast Guard and its Operational Centre for Maritime Security, Maritime and Ports Agency, Airports and Aerial Security, Ministry of Finance (overseeing Blue Growth Agenda), INDP, as well as municipal governments, NGOs and local fishing communities on the targeted islands. o assessment of suitable PA and fisheries surveillance tools including most notably drones, reaching out to the UNDP-GEF RTA and international flagship projects (SoarOcean, WCS, Belize, UK, etc.) for input and advice on technical specifics, capacity needs, limitations, risks and opportunities; o preliminary assessment of IAS pathways in Cape Verde and definition of a strategy for the project to mitigate IAS risks in Cape Verde; 	Lead	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support
	Lead		Lead	Support	Lead	Lead	Support	Lead	Support	Support	Support	Lead
	Support		Support	Support	Support	Support	Support	Support	Support		Support	Lead
		Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Lead
	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Lead
	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support	Support

o definition of technical and resource needs, hosting and mainstreaming opportunities and project interventions regarding an institutionalisation of marine spatial planning and the related GIS platform;	Support									Support
o assessment and definition of suitable micro-grants and work on alternative livelihoods to be provided by the project, in cooperation with SGP;	Support			Lead	Lead					Support
o feasibility assessment of a (nation-wide, or other) marine certification scheme for fisheries products, considering conceptual, local/ national acceptance, markets, sustainability impact, and other relevant factors;		Support		Lead	Lead					Support
o any further research and data collection required to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project targets; this will include <i>inter alia</i> : defining baseline management effectiveness in the targeted PAs; defining baseline IAS prevention and management frameworks in place; determining baseline financial flows for PA system management; determining baseline values for suitable proxy indicator species (<i>Epinephelus</i> sp. # in dive transects or fixed underwater camera field of view; # shark dive sightings; # sea-turtle nests and sightings; # of seabirds; coral cover, diversity and condition in transects; etc.)				Lead	Lead					Support
o international benchmarking of adequacy, incrementality and cost-effectiveness of the project's interventions; to respond to GEF-STAP, this should include <i>a rigorous assessment of whether this complex project is feasible within the project time frame and capacity, and the capacity [and buy in] of implementing agencies to deliver the project, engaging with the relevant stakeholders that will need to be involved (through a workshop)</i>		Support		Lead	Support					Support
o Environmental and Social Safeguard Assessments. The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase determined the overall risk categorization of this project as <i>Moderate</i> and highlighted potential safeguard risks to be further assessed during the PPG phase. The purpose of these assessments is to identify ways to avoid negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards (see section B-f below). If the required assessments cannot be undertaken or finalized during the PPG, they must be completed during the first phase of project implementation.				Lead	Support					Support
o Prepare a Gender Analysis to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project's context, and to identify appropriate measures to address these and promote gender equality	Support			Lead	Support					Support

and women's empowerment. The analysis will form the basis of a Gender Action Plan and Budget (see PPG Component B).									
<ul style="list-style-type: none"> • Identification of project sites. Based on the above reviews, and through consultation with stakeholders, the targeted project sites will be identified. 	Support	Support	Lead	Support	Lead	Support	Lead	Support	Lead

PPG Component B: Formulation of the UNDP-GEF Project Document, GEF CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **PPG Component A** (detailed above), the full UNDP-GEF Project Document (following the 2017 annotated UNDP-GEF Project Document available [here](#)) and GEF CEO Endorsement Request (available [here](#)) will be prepared, with the required complementary documentation. The following table provides the necessary details as well as instructions on several areas of the PRODOC requiring special focus. The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

	UNDP CO	UNDP-GEF RTA	PPG Team Leader	MSP & Mainstreaming	IAS	BIOFIN	Marine BD	Gender & Local Stakeholders
			IC	IC	IC	IC	National	National
<ul style="list-style-type: none"> • Financial planning. <ul style="list-style-type: none"> o Undertake consultations with partners to secure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. Confirm co-financing pledges from the PIF stage and identify further co-financing opportunities as required. o Ensure issuance of official co-financing letters/guarantees to be collected from participating government institutions, bilateral development partners, multilateral development partners, NGOs, private sector, or others who commit to provide cash or in-kind contributions to the project. • Building on the PIF and the above consultations and background research, formulate/consolidate the full PRODOC with all relevant sections and annexes following the latest standard GEF-6 templates. This includes <i>inter alia</i>: <ul style="list-style-type: none"> o Consolidating the summary problem, baseline investment and barrier analyses; o Theory of Change. The detailed theory of change (ToC), based on the studies and data collection undertaken in PPG Component A, will be developed. The selected approach will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach. Additional guidance is available in the Annotated UNDP-GEF ProDoc template. 	Lead	Support	Lead	Support	Support	Support	Support	Support
			Lead	Support	Support	Support	Support	Support
			Lead	Support	Support	Support	Support	Support
			Lead	Support	Support	Support	Support	Support

<ul style="list-style-type: none"> o Elaborating adequate and technically robust project interventions in detail, defining incrementality and cost-effectiveness of the project's interventions; and addressing/integrating the suggestions made and opportunities/risks identified in the context of PIF approval, by GEF Secretariat, GEF STAP, and GEF Council (see Annexes 3a-c); 			Lead	Lead							Support
<ul style="list-style-type: none"> o Stakeholder Engagement Plan. Based on the consultations undertaken during the PPG phase, a Stakeholder Engagement Plan will be developed. 	Support	Lead	Support	Support							Support
<ul style="list-style-type: none"> o Gender Action Plan and Budget. Based on the Gender Analysis conducted in PPG Component A, the Gender Action Plan and Budget will outline the gender-specific outputs to be delivered during project implementation in order to promote gender equality and women's empowerment and to ensure that inequalities are not exacerbated. As part of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions. The Gender Budget must be integrated into the Total Budget and Work Plan. The Gender Analysis as well as the Gender Action Plan and Budget must be attached as Annexes to the Project Document. See guidance available here. 	Support	Lead									Lead
<ul style="list-style-type: none"> o Monitoring and Evaluation (M&E) Plan and Budget. Starting from the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the UNDP-GEF M&E Policy, develop a detailed M&E Plan and Budget, adding further elements allowing considering especially the dedicated Component 4 in this project. The on-the-ground monitoring could be undertaken by national institutes/universities as appropriate. Clarify the roles of various groups involved in project M&E, how project-level monitoring links with data collected at the national level, and specify the frequency of monitoring. Specify monitoring tools to be used; clarify responsibilities for completing the mid-term and terminal GEF Tracking Tools (see below). Complete the M&E budget included in the UNDP-GEF Project Document noting that the total budget should be between 3-5% of the GEF grant. 		Lead	Support	Support							Support
<ul style="list-style-type: none"> o Results Framework. Based on the studies and data collection undertaken in PPG Component A, the Results Framework will be defined with appropriate Objective-level and Outcome-level quantitative and qualitative SMART indicators and mid-term and end-of-project targets. Building on the tentative framework in the PIF, it will be designed in line with the following parameters: <ul style="list-style-type: none"> ▪ Do not include outputs or activities in the results framework. Outputs and corresponding indicators can 	Support	Lead	Lead	Lead							Support

<p>be included in the results section and/or in Annex to the project document.</p> <ul style="list-style-type: none"> ▪ Prepare a maximum of 2-3 indicators for the Objective and each Outcome. Aim to keep the total number of indicators in the results framework (and that require annual reporting to the GEF) to 15-16. ▪ Aim to include state indicators (e.g. spatial coverage, ecosystems quality, species populations), pressure indicators (threats and drivers) and response indicators; ▪ To respond to a comment from GEF Secretariat, add SMART Indicators related to Aichi Targets. ▪ Include also a suitable outcome and indicator from the <i>UNDP Integrated Results and Resources Framework</i>. ▪ Give special attention to include gender-responsive outcomes and other socio-economic benefits. ▪ Define baseline values for each indicator, using PPG research and existing national information. ▪ Disaggregate indicators by sex, including number of direct project beneficiaries. ▪ Set realistic mid-term targets and end-of-project targets that can be achieved by project closure. ▪ Summarize risks and assumptions, and sources of verification/data. ▪ See the <i>annotated UNDP-GEF Project Document template for additional guidance on developing the Results Framework</i>. 											
<ul style="list-style-type: none"> o Preparing a detailed, multi-year Total Budget and Work Plan for the project, following the standard format provided in the UNDP-GEF ProDoc template; the principal TBWP table will allocate the GEF resources, any UNDP resources, as well as any further resources to be directly managed by UNDP over the lifetime of the project. 											

<ul style="list-style-type: none"> o Social & Environmental Standards and Project Risks <ul style="list-style-type: none"> ▪ In line with the assessments conducted during PPG Component A (above) and in line with <u>UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes</u>, a full SESP will be prepared and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document. ▪ Mitigation and management measures for moderate and high risks will be developed and included in the project document, or included as a separate management plan in Annex to the project document, as required per UNDP's SES policy. If the mitigation and management measures cannot be fully detailed at the PPG phase (e.g., sites have not been determined), an environmental and social management framework (ESMF) will be prepared outlining the steps to be taken during the first phase of project implementation to address the moderate and high risks. The ProDoc must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared; the plan(s) have been disclosed and approved by the Project Board. 	Support	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> o Project Management Arrangements. <ul style="list-style-type: none"> ▪ Based on the stakeholder analysis and consultations undertaken in PPG Component A above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. ▪ This will also entail an agreement on the implementation and cash transfer modality following the UNDP HACT Micro-Assessment of the chosen Implementing Partner. 	Support	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> o Defining the tentative configuration of the Project Implementation Team and preparing an indicative Procurement Plan (to be confirmed by the Country Office) together with the required Terms of Reference to ensure a smooth transition from the PPG to the implementation phase. 	Support	Support	Support	Support	Support	Support

<ul style="list-style-type: none"> o GEF Tracking Tools. <ul style="list-style-type: none"> ▪ The following GEF Tracking Tools must be prepared, in line with the relevant GEF objectives: GEF-6 Biodiversity Tracking Tool, Programs 1 and 2 (PA Management Effectiveness, PA Financial Sustainability Scorecard), Programme 4 (Prevention, Control and Management of Invasive Alien Species), Programme 9 (Managing the Human-Biodiversity Interface). Indicators from the GEF Tracking Tools can be included in the Results Framework as appropriate. See the GEF's website for the most up-to-date templates as these may change. ▪ The GEF Tracking Tools will be completed using the GEF-6 standard Excel template, which will form part of the submission package. In addition they are copied into the ProDoc as Annexes. 		Support	Lead GEF P1/2, METT	Lead GEF P9	Lead GEF P4	Lead GEF P1/2 Financial Scorecard	Support	
<ul style="list-style-type: none"> o UNDP Scorecards required for the project: UNDP PA Capacity Development Scorecard; UNDP IAS Capacity Development Scorecard. These are copied into the ProDoc as Annexes. 		Support	Lead	Support	Lead	Support	Support	
<ul style="list-style-type: none"> • Prepare the GEF CEO Endorsement Request following the latest standard GEF-6 templates, taking a parsimonious approach by avoiding duplication of PRODOC sections. 		Support	Lead	Support	Support	Support	Support	
<ul style="list-style-type: none"> • Submit the PRODOC and GEF CEO Endorsement Request package to the UNDP-GEF RTA for review and comment. 	Lead		Lead					
<ul style="list-style-type: none"> • Validation Workshop and Report. A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high. 	Lead and attend	Support and attend on site or remotely	Lead and attend on site or remotely	Support and attend remotely	Support and attend remotely	Support and attend remotely	Support and attend	Support and attend
<ul style="list-style-type: none"> • Finalise the PRODOC and for GEF CEO Endorsement Request package for submission to UNDP-GEF and GEF Secretariat. 	Support	Support	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> • If required, respond to any reviews by the GEF Secretariat and resubmit the PRODOC and CEO Endorsement Request package; 	Support	Lead	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> • Translate the PRODOC and any further relevant documentation. 	Lead							

PPG Component C: Validation Workshop and Report

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Atlas Project ID (formerly Award ID):	00106034
Atlas Output ID (formerly Project ID):	00106971
Award Title:	GEF 6 - MERINE ECOSYSTEM
Business Unit:	CPV10
Project Title:	Managing multiple sector threats on marine ecosystems to achieve sustainable blue growth
UNDP PIMS ID:	5880
GEF PMIS ID:	9705
Implementing Partner:	UNDP

GEF Outcome/Atlas Activity	Resp. 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 "Managing multiple sector threats on marine ecosystems to achieve sustainable blue growth"	UNDP	62000	GEF TF	71200	International Consultants	60,000	A
				71300	Local Consultants	16,000	B
				71600	Travel	20,664	C
				75700	Meetings & Workshops	3,336	D
SUM						100,000	
AVAILABLE PPG BUDGET						100,000	
BALANCE						0	

Budget Note	Items	Total estimated person weeks	Budget US\$	Budget Note
A1	International Specialist in Marine PA and Fisheries Management and GEF Project Development (Team Leader)	10 weeks @ 3,000	30,000	Please see Annex 2 and TABLE ABOVE for key responsibilities.
A2	International Specialist in Marine Spatial Planning and Sector Mainstreaming	4 weeks @ 3,000	12,000	Ditto

A3	International Specialist in Marine Invasive Species Pathways Management	3 weeks @ 3,000	9,000	Ditto
A4	International Specialist in Biodiversity Finance / BIOFIN	3 weeks @ 3,000	9,000	Ditto
A	Subtotal ICs		60,000	
B1	National Specialist in Marine Biodiversity (PPG National Focal Point)	8 weeks @ 1,000	8,000	Ditto
B2	National Stakeholder Engagement and Gender Mainstreaming Specialist	8 weeks @ 1,000	8,000	Ditto
B	Subtotal Local Consultants		16,000	
C	International travel	4 ICs x 1 flight @ \$1400	5,600	
	In country missions: International Specialist in Marine PA and Fisheries Management and GEF Project Development (Team Leader)	10 days on Mindelo (DSA \$178) + 10 days Praia (DSA 190)	3,680	
	In country missions: International Specialist in Marine Spatial Planning and Sector Mainstreaming	10 days on Mindelo (DSA \$178) + 10 days Praia (DSA 190)	3,680	
	In country missions: International Specialist in Marine Invasive Species Pathways Management	4 days on Mindelo (DSA \$178) + 6 days Praia (DSA 190)	1,852	
	In country missions: International Specialist in Biodiversity Finance / BIOFIN	4 days on Mindelo (DSA \$178) + 6 days Praia (DSA 190)	1,852	
	In country missions: National Consultants	2 x 10 days local DSA on Mindelo	4,000	
C	Subtotal Local Travel & DSA		20,664	
D	Consolidation and validation workshop		3,336	

V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

N/A

VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter



Naoko Ishii
CEO and Chairperson

May 2, 2017

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.

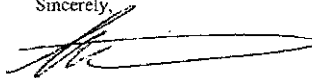
Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9705
Agency(ies):	UNDP
Agency ID:	5880 (UNDP)
Focal Area:	Biodiversity
Project Type:	Full-Sized Project
Country(ies):	Cabo Verde
Name of Project:	Managing Multiple Sector Threats on Marine Ecosystems to Achieve Sustainable Blue Growth
Indicative GEF Project Grant:	\$3,787,864
Indicative Agency Fee:	\$359,847
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	GEF	\$143,939	\$215,908	\$359,847

1815 H Street, NW Washington, DC 20433 USA
Tel: +1 (202) 473 3262 - Fax: +1 (202) 522 6240
E-mail: gefceo@thegef.org
www.thegef.org

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 document, with all Secretariat and Council comments fully addressed, is submitted such that CFO 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: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: International Specialist in Marine PA and Fisheries Management and GEF Project Development (PPG Team Leader)</p> <p>Type: IC</p> <p>Cost per person week: USD 3,000</p> <p>Number of person weeks needed: 10</p>	<p>Role. Lead on the overall PPG and responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and GEF CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. S/he will be responsible for managing all consultants on the GEF PPG Team and coordinating the Team’s work, as well as providing the necessary expertise on marine PA and fisheries management.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Management of the GEF PPG Team, Field mission and PPG Inception Meeting</u> <ol style="list-style-type: none"> a. Define and submit a short methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs); b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. d. Oversee the stakeholder analysis and consultations and ensure that they are complete and comprehensive; e. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework; f. Ensure action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative fashion throughout the PPG, as appropriate; g. Conduct/oversee the identification of the project sites, with documentation of selection criteria; h. Oversee the consultations with partners regarding financial planning; and i. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 2) Secure the required official endorsement and co-financing letters 3) With inputs from the other national and international consultants, as detailed in their respective TORs, and based on international best practice, definition of the project’s interventions and formulation of the ProDoc, CEO Endorsement Request and <u>Mandatory and Project Specific Annexes</u> (PPG Component B – <i>inter alia</i>: Baseline/Situation Analysis, Capacity Needs Assessment, Stakeholder Engagement Plan, Social and Environmental Safeguards Assessment, Gender Analysis and Action Plan and Budget, Theory of Change, Total Budget and Work Plan, M&E Plan and Budget, elements on micro-grants and alternative livelihoods, fisheries certification assessment, Results Framework, Project Management Arrangements, Project Procurement Plan with Terms of Reference, addressing GEF Secretariat, Council and STAP comments). 4) Complete the GEF Tracking Tools (especially GEF P1/2 METT) and UNDP Scorecards (especially UNDP PA Capacity Development Scorecard)

	<p>5) Validation Workshop and Report.</p> <p>Qualifications</p> <ul style="list-style-type: none"> – Master’s degree or higher in a relevant field, such as in biological science, marine science, environmental management, or similar; – Minimum of 10 years of demonstrated experience in marine PA and fisheries design and/or management; – Demonstrated experience in developing quality GEF projects on marine biodiversity or fisheries; – Full proficiency in quality written and spoken English required, with a working knowledge in Portuguese, Spanish or French desirable.
<p>Position: International Specialist in Marine Spatial Planning and Sector Mainstreaming</p> <p>Type: IC</p> <p>Cost per person-week: USD 3,000</p> <p>Number of person-weeks needed: 4 weeks</p>	<p>Role. Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, leading in particular on the aspects of sector mainstreaming and marine spatial planning.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Provide support and advice to the PPG Team Leader on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u> 2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance. 3) <u>Lead the work stream on sector mainstreaming and marine spatial planning</u>, contributing the necessary research and documentation, and input to the project design and interventions. This will entail co-leadership in the review of relevant national and sector development plans, policies and budgets to further respond to and align the project with government goals and priorities; the definition of technical and resource needs, hosting and mainstreaming opportunities and project interventions regarding an institutionalisation of marine spatial planning and the related GIS platform; research and data collection to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project targets; the development of the stakeholder engagement plan; and the development of the results framework. 4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u> 5) <u>Complete the GEF-6 Programme 9 Tracking Tool.</u> 6) Remote participation, if possible, in the <u>Validation Workshop.</u> <p>Qualifications</p> <ul style="list-style-type: none"> – Master’s degree or higher in a relevant field, such as in biological science, marine science, environmental management, or similar; – Minimum of 5 years professional experience in marine environment, including relevant demonstrated experience in maritime sector biodiversity mainstreaming and marine spatial planning; – Experience in developing quality GEF projects an advantage; – Fluency in written and spoken English, with a working knowledge in Portuguese, Spanish or French desirable.
<p>Position: International Specialist in</p>	<p>Role Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request</p>

<p>Marine Invasive Species Pathways Management</p> <p>Type: IC</p> <p>Cost per person-week: USD 3,000</p> <p>Number of person-weeks needed: 3 weeks</p>	<p>package, leading in particular on the aspects of invasive species prevention and management.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Provide support and advice to the PPG Team Leader on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u> 2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance. 3) <u>Lead the work stream on invasive species prevention and management</u>, contributing the necessary research and documentation, and input to the project design and interventions. This will entail leading on a preliminary assessment of IAS pathways in Cape Verde and definition of a strategy to mitigate IAS risks in Cape Verde. It will also entail co-leadership in the review of relevant national and sector development plans, policies and budgets to further respond to and align the project with government goals and priorities; the identification of project sites; research and data collection to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project targets; and the development of the results framework. 4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u> 5) <u>Complete the GEF-6 Programme 4 Tracking Tool and UNDP IAS Capacity Development Scorecard.</u> 6) Remote participation, if possible, in the <u>Validation Workshop.</u> <p>Qualifications</p> <ul style="list-style-type: none"> – Master’s degree or higher in a relevant field, such as in biological science, marine science, environmental management, or similar; – Minimum of 5 years professional experience, including relevant demonstrated experience in the design and/or implementation of invasive species pathways management; – Experience in developing quality GEF projects an advantage; – Fluency in written and spoken English, with a working knowledge in Portuguese, Spanish or French desirable.
<p>Position: International Specialist in Biodiversity Finance / BIOFIN</p> <p>Type: IC</p> <p>Cost per person-week: USD 3,000</p> <p>Number of person-weeks needed: 3 weeks</p>	<p>Role</p> <p>Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, leading in particular on the aspects of marine biodiversity and PA financing.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Provide support and advice to the PPG Team Leader on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u> 2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance. 3) <u>Lead the work stream on finance for marine biodiversity and PAs.</u> This will entail leading on research and data collection for the definition of a baseline situation regarding marine biodiversity and PA finance (building on ongoing national endeavours more oriented on terrestrial biodiversity); definition of project interventions and entry points and national counterparts with a promise of leveraging

	<p>significant new or realigned finance; contributing to the development of the results framework with suitable objective-level and outcome-level indicators, baseline values and end-of-project targets.</p> <ol style="list-style-type: none"> 4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u> 5) <u>Complete the GEF-6 Programme 1/2 Financial Scorecard Tracking Tool.</u> 6) Remote participation, if possible, in the <u>Validation Workshop.</u> <p>Qualifications</p> <ul style="list-style-type: none"> – Master’s degree or higher in a relevant field, such as in public finance or economics, or in biological science, marine science, environmental management, or similar if relevant professional expertise is demonstrated; – Minimum of 5 years professional experience, including relevant demonstrated experience in mobilising environmental finance, especially public and innovative, in designing national PA finance strategies, and/or in conducting PA finance needs assessments and public expenditure reviews. – Experience in developing quality GEF projects an advantage; – Fluency in written and spoken English, with a working knowledge in Portuguese, Spanish or French desirable.
<p>Position: National Specialist in Marine Biodiversity (PPG National Focal Point)</p> <p>Type: NC</p> <p>Cost per person-week: USD 1,000</p> <p>Number of person-weeks needed: 8 weeks</p>	<p>Role Acting as the PPG National Focal Point, participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the international specialists the national context, networking, as well as specific technical and strategic expertise on marine biodiversity and PAs and related threats and opportunities in Cape Verde.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Provide support and advice to the PPG Team Leader and other International Specialists on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u> 2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance. 3) <u>Lead or co-lead and advise on the following deliverables:</u> <ol style="list-style-type: none"> a. determine entry points that will yield the highest leverage for strengthening the management of marine and coastal biodiversity in Cape Verde, including through the emerging national Blue Growth Strategy; b. engage and sensitise key government representatives and other stakeholders about the project to secure a strong national ownership and ensure their full participation and agreement in the development of the project strategy and design c. identify other relevant existing and planned initiatives, possibly negotiating partnerships to align activities and build synergies, and reflecting this in the project strategy. d. research to establish/confirm the baseline investment of the government and its partners in relation to the issues to be addressed by the project, in order to help determine the incrementality of the GEF intervention; e. an assessment of institutional/technical/individual capacity development needs for key stakeholder groups on marine and coastal biodiversity, marine living resources, marine protected areas, MPA and fisheries co-management and

	<p>surveillance, invasive alien species, IMO conventions, biodiversity finance, and sector mainstreaming and marine spatial planning;</p> <p>f. preliminary assessment of IAS pathways in Cape Verde and definition of a strategy for the project to mitigate IAS risks in Cape Verde;</p> <p>g. identification of project sites.</p> <p>4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></p> <p>5) Participation in the <u>Validation Workshop.</u></p> <p>Qualifications</p> <ul style="list-style-type: none"> – University degree in a relevant field, such as in biological science, marine science, environmental management, or similar if relevant professional expertise is demonstrated; – Minimum of 3 years of demonstrated experience on marine environmental issues and biodiversity; – Experience working with UNDP and/or GEF projects an advantage; – Proficiency in Portuguese, with working knowledge of English an advantage.
<p>Position: National Stakeholder Engagement and Gender Mainstreaming Specialist</p> <p>Type: NC</p> <p>Cost per person-week: US\$1,000</p> <p>Number of person-weeks needed: 8 weeks</p>	<p>Role</p> <p>Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the international specialists country-specific input related to gender and stakeholder analysis and engagement.</p> <p>Deliverables. The following lists key responsibilities and deliverables of this contract; the PPG Implementation Plan provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly.</p> <p>1) <u>Provide support and advice to the PPG Team Leader and other International Specialists on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u></p> <p>2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance.</p> <p>3) <u>Lead or co-lead and advise on the following deliverables:</u></p> <ol style="list-style-type: none"> a. engage and sensitise key government representatives and especially local-level stakeholders (communities, fishermen and other marine resource users) about the project to secure a strong national ownership and ensure their full participation and agreement in the development of the project strategy and design; b. the identification of project sites; c. the Environmental and Social Safeguard Assessments as well as the Gender Analysis and Gender Action Plan and Budget, working closely with the Team Leader to ensure their findings are meaningfully integrated into the project's strategy, design, theory of change and results framework; d. the Stakeholder Engagement Plan. <p>4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></p> <p>5) Participation in the <u>Validation Workshop.</u></p> <p>Qualifications</p> <ul style="list-style-type: none"> – University degree in a relevant field, such as in anthropology, sociology, environmental management preferred but not required in the case of demonstrated relevant professional experience in gender, safeguards and/or community engagement;

	<ul style="list-style-type: none">- Minimum of 3 years of demonstrated experience in gender, safeguards and/or community engagement;- Experience working with UNDP and/or GEF projects an advantage;- Proficiency in Portuguese, with working knowledge of English an advantage.
--	--

Annex 3a: Comments on the PIF from GEF Secretariat



GEF-6 GEF SECRETARIAT REVIEW FOR FULL-SIZED/MEDIUM-SIZED PROJECTS THE GEF/LDCF/SCCF TRUST FUND

GEF ID:	9705		
Country/Region:	Cabo Verde		
Project Title:	Managing Multiple Sector Threats on Marine Ecosystems to Achieve Sustainable Blue Growth		
GEF Agency:	UNDP	GEF Agency Project ID:	5880 (UNDP)
Type of Trust Fund:	GEF Trust Fund	GEF Focal Area (s):	Biodiversity
GEF-6 Focal Area/ LDCF/SCCF Objective (s):	BD-1 Program 1; BD-2 Program 4; BD-4 Program 9;		
Anticipated Financing PPG:	\$100,000	Project Grant:	\$3,787,864
Co-financing:	\$13,400,000	Total Project Cost:	\$17,287,864
PIF Approval:	May 02, 2017	Council Approval/Expected:	May 01, 2017
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	Cyrille Barnerias	Agency Contact Person:	Yves de Soye

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
Project Consistency	1. Is the project aligned with the relevant GEF strategic objectives and results framework? ¹	<p>2016-12-20</p> <p>- Please clarify the contribution of the project to the GEF strategic objectives.</p> <p>- The project has explicitly articulated which Aichi target it will help achieve (paragraph 41). We expect SMART indicators related to the Aichi targets to be defined during PPG.</p>	

¹ For BD projects: Has the project explicitly articulated which Aichi Target(s) the project will help achieve and are SMART indicators identified, that will be used to track the project's contribution toward achieving the Aichi Target(s)?

Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>2017-02-21</p> <p>- The four agreements cited in the Output 1.3 are targeted on prevention of pollution (oil, waste etc.) which is normally not the kind of agreement that GEF finances. As we understand the interest of addressing them in a project addressing also the Ballast convention (relevant with regards to the IAS issue), could you please specify that the four agreements frameworks and early systems will be financed by co-financing.</p> <p>- Reminder: the project has explicitly articulated which Aichi target it will help achieve (paragraph 46). We expect SMART indicators related to the Aichi targets to be defined during PPG.</p> <p>2017-02-27</p> <p>- There might have been a slight misunderstanding: GEF could participate in the financing of the Ballast convention transposition into the IAS national framework preparation (as it relates to IAS), but we would prefer to see the other conventions (MARPOL, OPRC, London and Anti-fouling Conventions) national frameworks to be supported by the co-financing. Hence, the modification of the PIF</p>	

Review Criteria	Questions	Secretariat Comment	Agency Response
Project Design		should be in paragraph 26. 2017-03-02 - All comments addressed	
	2. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions?	2016-12-20 Yes, it is coherent with the 2nd National Environmental Action Plan (PANA-II 2004-2014) (page 13 and 19) as well as with the NBSAP-priority 3-5 (page 90).	
	3. Does the PIF sufficiently indicate the drivers ² of global environmental degradation, issues of sustainability, market transformation, scaling, and innovation?	2016-12-23 - Yes, drivers such as habitat loss and degradation from Agriculture and urbanization, pollution, over-exploitation and harmful fishing practices as well as IAS and climate change are identified. - innovation: yes, the project will be innovative as it will support Marine Spatial Planning in a country where this tool as not been yet implemented (it even rare in the African context). The use of drones to support the protected areas and fisheries management is also a factor of innovation. -Scaling-up: yes the project could allow scaling-up in case of success	

Review Criteria	Questions	Secretariat Comment	Agency Response
Availability of Resources		for the use of drones for example or for Marine Spatial Planning to neighboring or related countries. -Sustainability: please for CEO endorsement, elaborate on the importance of up-scaling of co-management for the project sustainability.	
	4. Is the project designed with sound incremental reasoning?	2016-12-23 - Yes	
	5. Are the components in Table B sound and sufficiently clear and appropriate to achieve project objectives and the GEBs?	2016-12-23 - Yes	
	6. Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?	2016-12-23 Yes. We expect in particular that the PPG will allow for a complete gender assessment and integration in the project.	
	7. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	<ul style="list-style-type: none"> The STAR allocation? The focal area allocation? The LDCF under the principle of 	Yes: The project requests \$4,257,211 on the BD Focal area. The difference (\$845,115) with the amount originally available for the BD Focal Area (\$3,412,096) will be taken from the LD Focal Area using the marginal adjustment rule.	

Review Criteria	Questions	Secretariat Comment	Agency Response
Recommendations	equitable access		
	<ul style="list-style-type: none"> The SCCF (Adaptation or Technology Transfer)? Focal area set-aside? 		
	8. Is the PIF being recommended for clearance and PPG (if additional amount beyond the norm) justified?	<p>2016-12-23 - No There is one remark to be addressed.</p> <p>- Regarding KM (paragraphs 39 and 61), please clarify how the project will overcome the elements identified in Barrier4 as to the lack of capture and sharing of lessons and best-practices identified in other projects.</p> <p>2017-02-21 No, please see comment on financing source for output 1.3.</p> <p>2017-02-27 No. All comments have been addressed except the one on financing source for output 1.3.</p> <p>2017-03-02 Yes, all comments at this stage have been addressed.</p>	
	Review Date	Review	December 23, 2016
	Additional Review (as necessary)	February 21, 2017	
	Additional Review (as necessary)	February 27, 2017	

Annex 3b: Comments on the PIF from GEF STAP

Scientific and Technical Advisory Panel

The Scientific and Technical Advisory Panel, administered by UNEP, advises the Global Environment Facility (Version 5)

STAP Scientific and Technical screening of the Project Identification Form (PIF)

Date of screening: May 08, 2017
Screener: Virginia Gorsevski
Panel member validation by: Brian Child
Consultant(s):

I. PIF Information *(Copied from the PIF)*

FULL-SIZED PROJECT	GEF TRUST FUND
GEF PROJECT ID:	9705
PROJECT DURATION:	5
COUNTRIES:	Cabo Verde
PROJECT TITLE:	Managing Multiple Sector Threats on Marine Ecosystems to Achieve Sustainable Blue Growth
GEF AGENCIES:	UNDP
OTHER EXECUTING PARTNERS:	Ministry of Agriculture and Environment (MAE) / General Directorate for Environment (DGA) with Ministry of Economy and Employment (MEE) / General Directorate Marine Resources (DGRM)
GEF FOCAL AREA:	Biodiversity

II. STAP Advisory Response *(see table below for explanation)*

Based on this PIF screening, STAP's advisory response to the GEF Secretariat and GEF Agency(ies):
Concur

III. Further guidance from STAP

STAP believes that the global environmental benefits targeted by this project in Cape Verde are legitimate and worthwhile and that the strategy is logical and comprehensive.

Having said that, STAP feels that the project is somewhat over-ambitious and we are concerned about the practical viability of taking on so many activities simultaneously, even after noting the assertion that Cape Verde has strong technical capacity.

For example, there are a total of 26 discrete activities, many of which are complex, require technical/system development, and involve multiple stakeholders. Component 1 alone includes no less than a dozen activities, including regulatory and policy alignment and reform (which is notoriously time consuming) conducted with a significant number of stakeholders and agencies within a budget of \$USD 1.160 million. In sum, there appear to be too many moving parts for this project to be technically feasible within the time frame, budget and institutional capacity.

In addition, the risks that stakeholders will engage in, and implement, activities, policies and regulations are noted. Individually these are ranked as "medium", but together perhaps they are "high?". For example, if there are so many risks associated with using drones, is this a good approach?

Given these concerns, STAP recommends that as part of the PPG, project managers undertake a rigorous assessment of whether this complex project is feasible within the project time frame and capacity, and the capacity of implementing agencies to deliver the project. Through the project they should engage with the stakeholders that will need to be involved (through a workshop) to assess buy-in, capacity and feasibility.

The current assessment of risks does recognize these problems, but should be specifically expanded to assess the assumptions that all these actors and (often complex) technical solutions mentioned in the PIF will work in practice within budget and time frame.

<i>STAP advisory response</i>	<i>Brief explanation of advisory response and action proposed</i>
1. Concur	In cases where STAP is satisfied with the scientific and technical quality of the proposal, a simple "Concur" response will be provided; the STAP may flag specific issues that should be pursued rigorously as the proposal is developed into a full project document. At any time during the development of the project, the proponent is invited to approach STAP to consult on the design prior to submission for CEO endorsement.
2. Minor issues to be considered during project design	STAP has identified specific scientific /technical suggestions or opportunities that should be discussed with the project proponent as early as possible during development of the project brief. The proponent may wish to: <ul style="list-style-type: none"> (i) Open a dialogue with STAP regarding the technical and/or scientific issues raised. (ii) Set a review point at an early stage during project development, and possibly agreeing to terms of reference for an independent expert to be appointed to conduct this review. <p>The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.</p>
3. Major issues to be considered during project design	STAP proposes significant improvements or has concerns on the grounds of specified major scientific/technical methodological issues, barriers, or omissions in the project concept. If STAP provides this advisory response, a full explanation would also be provided. The proponent is strongly encouraged to: <ul style="list-style-type: none"> (i) Open a dialogue with STAP regarding the technical and/or scientific issues raised; (ii) Set a review point at an early stage during project development including an independent expert as required.

	<p>The GEF Secretariat may, based on this screening outcome, delay the proposal and refer the proposal back to the proponents with STAP's concerns.</p> <p>The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.</p>
--	---

Annex 3c: Comments on the PIF from GEF Council

From: Cyrille Frederic Marie Barnerias [mailto:cbarnerias@thegef.org]
Sent: 15 June 2017 23:05
To: Yves de Soye
Subject: RE: Project 9705 - comments from council members

Dear Yves,

Yes, we must ensure that these comments are fully taken into account in the preparation of the project documents that come back to the GEFSEC for endorsement. So, it is not a new review of the PIF, but rather a work to be done during PPG.

Best regards,
Cyrille

From: Yves de Soye [mailto:yves.desoye@undp.org]
Sent: Thursday, June 15, 2017 4:58 PM
To: Cyrille Frederic Marie Barnerias <cbarnerias@thegef.org>
Cc: Glynis Afiong Barber <gbarber@thegef.org>; midori.paxton@undp.org; Lela Fikrou <lela.fikrou@undp.org>; Akiko Yamamoto <akiko.yamamoto@undp.org>
Subject: RE: Project 9705 - comments from council members

Dear Cyrille

Many thanks for passing on these comments from GEF Council members, which are all well noted and we will carefully consider.

Do I understand you correctly that this should be addressed during the PPG when preparing the PRODOC and in subsequent implementation – as opposed to a further review of the PIF?

Many thanks for clarifying this and best wishes



Yves de Soye
Regional Technical Advisor, Ecosystems & Biodiversity
Global Environmental Finance Unit
Bureau for Policy and Programme Support
UNDP Istanbul Regional Hub, Turkey
E: yves.desoye@undp.org, Skype: yvesdesoye.undp
www.undp.org

From: Cyrille Frederic Marie Barnerias [mailto:cbarnerias@thegef.org]
Sent: 15 June 2017 22:24
To: Yves de Soye
Cc: gbarber@thegef.org
Subject: Project 9705 - comments from council members

Dear Mr. de Soye,

Please find below the comments from council members that we received related to project 9705 (Managing multiple sector threats on marine ecosystems to achieve sustainable blue growth). The comments will also be uploaded to PMIS.

From France:

We globally support this proposal and would suggest reinforcing two points:

1. to reconcile national frameworks for maritime sector and regional approaches, for instance on sustainable management of fisheries, aquaculture or maritime traffic, and to secure the collaboration of all stakeholders, build on existing regional multi-stakeholder initiatives covering terrestrial and marine ecosystems, such as Abidjan Convention, as a basis for future development of Marine Spatial Plans ;
2. to motivate changes in local practices and support marine biodiversity conservation :
 - Use the economic lever and support sustainable economic alternatives activities ;
 - Support at regional level “peer to peer” exchanges on best local practices

From US:

- 1) This proposal seeks to introduce drones into the conservation and management of a large area across multiple islands. This is a worthwhile innovation. Since it is new in this area, the proposal would benefit from greater clarity in the listed objectives. Particularly, we would like to see clearly identified target regions or Protected Areas and specific objective or outcome to measure each initiative.
- 2) What plans does the project have to share lessons learned from this project? We imagine many other regions of the world would benefit from such information given the nascency of this technology application.
- 3) Financial institutions to enable local fisherfolk to upgrade equipment and migrate to larger operations capable of going beyond fragile local fisheries should be included in this project. This could be critical in fishery management by providing sustained employment if limitations for certain seasons are successfully imposed -- the additional equipment would enable fisherfolk to fish in other areas outside of the controlled areas.
- 4) The proposal should specify how the project will engage local farmers, many of whom are women.
- 5) We suggest adding a data collection component to the project, in particular for the artisanal fisheries sector. It seems there is little management and enforcement on the artisanal sector, which the proposed activities would target, yet there is no mention of data gaps, collection, sharing of this information with other entities.
- 6) We suggest coordinating with the International Commission for the Conservation of Atlantic Tunas (ICCAT, <https://www.iccat.int/en/>). Although this GEF project goes beyond the scope of ICCAT, there are lessons and collaboration that could be beneficial to both sides, in particular on data collection, enforcement opportunities, stock assessment information, and artisanal fisheries work.
- 7) There are many synergies between elements of this project and the FAO-implemented Canary

Current Large Marine Ecosystem (CCLME) project's Strategic Action Programme (SAP). This is an example of an opportunity for coordination across the focal areas, as this project is within the Biodiversity focal area, but has strong links to the CCLME Project, which is within the International Waters focal area. Each of the four Project Components of the PIF under review has important connections to CCLME activities, including the sustainable management of fisheries and the preservation of critical habitats in marine and coastal areas. For example, Component 1 describes the development of national frameworks for maritime sector planning and threat management through an Integrated Marine Spatial Plan. We recommend that this project coordinate with the activities of the CCLME SAP.

8) In addition, Component 4 should coordinate with the GEF Project Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools, which will harness knowledge experience gained through previous LME projects.

From Germany:

Germany approves the following PIF in the work program but asks that the following comments are taken into account:

Suggestions for improvements to be made during the drafting of the final project proposal:

· The full proposal should clearly explain in Project component 1 (project outputs 1.1 and 1.2), how the government authority that will oversee and lead the Integrated Marine Spatial Planning Process, will be strengthened and how the necessary policy changes will be implemented with GOCV. This is very important, given that coastal and marine policies appear to be very sectoral in Cape Verde and that the management authority does not have a strong mandate.

· Germany seeks clarification on the nation-wide marine certification of fisheries products through MSC (Project component 1, output 1.5). MSC certification is usually specific for a given fish stock and fishing fleet. Multiple species, fishing fleets and gear types are very difficult to certify, especially in data-deficient fisheries. Please specify which fisheries would be included in the assessment and if sufficient data are available to conduct the analysis.

· The final proposal should ensure that gender issues and impacts are not only monitored but explain how gender issues are addressed in the specific interventions.

Best regards,



Cyrille Barnerias | Sr. Environmental Specialist 🐼
Office : (+1) 202-473-8871 | Cell : (+1) 202-280-0646 | cbarnerias@thegef.org
Mail stop: N-800 | 1818 H Street NW - Washington DC 20433 USA
Street address: 8th floor-191a 1899 Pennsylvania Ave NW – Washington DC USA

Global Environment Facility
Thegef.org | [Facebook](#) | [Twitter](#) | [YouTube](#)