



INITIATION PLAN TEMPLATE

FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System

Country: Dominica

Initiation Plan Start Date: July 2014

Initiation Plan End Date: March 2015

M-CPAP Programme Component: Enhanced capacity of national, sub-regional and regional institutions and stakeholders to: effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance.

ATLAS Project Award: 00082440

ATLAS Project ID: 00091362

PIMS Project ID: 5089

Management Arrangement: DIM

Total budget: US\$ 82,192

Allocated resources:

- GEF US\$ 82,192
- LDCF US\$
- SCCF US\$
- NPIF US\$
- Government US\$
- UNDP US\$


AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

15/08/14
Date: day/month/year

A. Brief Description of Initiation Plan:

During the Initiation Plan period, a number of baseline studies and stakeholder consultations will be undertaken. The purpose of the PPG is to support the development of the “Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica’s Protected Areas System” MSP (Medium-sized Project). This preparatory phase aims at finalizing the formulation of project arrangements, enabling stakeholder consultations and supporting the collection of data for the establishment of baseline and complementary activities, to be validated against UNDP-GEF requirements. The final output of the initiation plan will be a [UNDP-GEF project document](#) and [GEF CEO endorsement template](#) with all required supporting documentation, including but not limited to Co-financing Commitment letters, an Environmental and Social Screening and the relevant GEF Tracking Tools for the above mentioned project ready for submission to UNDP and the GEF within the agreed upon timeframe.

B. Project preparation activities:

The IP is expected to be completed in a maximum period of 12 months from the PPG approval. The proposed preparation activities are detailed below:

A. Component A: Technical review

I. Baseline studies:

- Baseline assessment of policy, legal/regulatory, and institutional frameworks for PA management, and recommendations for related project activities.
- Summary analysis of baseline investments with respect to the environment sector in general and PA management in particular.
- Assessing the baseline of direct threats to biodiversity such as hunting, harvesting of wild plants, land conversion and road construction within the core area of Morne Trois Pitons NP.
- Assessing the existing MTP Management Plan to identify areas of improvement in the business/financial strategy for long-term sustainability, how to more effectively address threats to the park, and present recommendations.
- Confirming the area of a buffer zone for Morne Trois Pitons National Park and preliminary mapping of boundaries.
- Assessing the management effectiveness of the target PAs, including baseline scores using the METT (BD Tracking Tool).
- Analysis of current and projected PA financing; completed PA Financial Sustainability Scorecard; description of barriers to improved PA financing; and recommendations for project activities to remove barriers,
- Assessing baseline national capacity for PA management using the UNDP Capacity Development Scorecard and preparing a Capacity Development Strategy.
- Identifying specific PA management activities for the MSP, such as management planning, zoning, partnerships, PA management capacity building, landscape-wide planning, and PA financing

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: *see Annex 3 for the ESS Pre-screening*
- III. Identification of specific sites for intervention
- IV. Integration with development plans, policies, budgets and complementary projects: The project will contribute to the achievement of Barbados and the Organization of Eastern Caribbean States (OECS, including Dominica) UNDAF's Outcome #1 "Improved governance and regulation of environmental and energy issues for more resilient economies by 2016" through the support to the development and implementation of national policies and strategies on energy, climate change and disaster risk reduction, including consultation. In addition, the project will coordinate with the WA1 Upgrade Project, which is relocating its water intake system to an area within the MTPNP buffer zone that nevertheless may be negatively impacted by agricultural production leading to siltation. Project work on agricultural management will be supported by the EU-BAM project and its programs to increase productivity and reduce the negative impacts of agricultural production in and around the MTPNP buffer zone through such actions as implementation of quality standards, development of agricultural information systems, and enhancement of risk management systems.
- V. Completion of GEF focal area tracking tool: Biodiversity GEF Tracking Tool. A complete GEF BD tracking tool will be delivered as part of the technical review component.
- VI. Stakeholder consultations during technical review: This activity will mobilize and engage stakeholders during the project design phase to provide for the design of appropriate communication strategies for targeted audiences in the MSP and confirm potential partnerships with on-going projects to build synergies. Consultations and partnerships achieved during this phase will be properly documented.

B. Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART**Error! 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.
 - 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. Undertake consultations to create the national-level Inter-Institutional Committee. Document these consultations.
- C. Component C: Financial planning and co-financing investments:
- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
 - II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
 - III. Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
 - IV. Stakeholder consultations during Component C: Consultations will be carried out for the development of a stakeholder analysis and the identification of knowledge gaps and the needs of key national and local stakeholders related to the conservation and sustainable use of protected areas and BD, so that the skills are in place for successful project implementation and its sustainability.
- 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) ¹												Responsibility			
	1	2	3	4	5	6	7	8	9	10	11	12				
Component A																UNDP
Component B																UNDP
Component C																UNDP
Component D																UNDP

D. Total Budget and Work Plan :

Award ID:	00082440
Award Title:	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System
Business Unit:	BRB10
Project Title:	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System
Project ID:	00091362
Implementing Partner (Executing Agency)	Environmental Coordinating Unit (Ministry of Environment, Natural Resources, Physical Planning and Fisheries)

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
UNDP-GEF Guidance for UNDP Initiation Plan for GEF funded projects

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 "Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	33,000	1
				71300	Local Consultants	39,200	2
				71600	Travel	8,000	3
				74500	Miscellaneous Expenses	492	4
				75700	Trainings, Workshops and Conferences	1,500	5
					PROJECT TOTAL	82,192	

BUDGET NOTE	DESCRIPTION
1	International Consultant - Project Planning and Monitoring Expert: In charge of coordinating with national PPG Consultants Team and providing an overall orientation to the PPG team in relation to GEF requirements for project planning and monitoring. 12 weeks @ \$2,750 per week = \$33,000.
2	Local Consultants a) BD/PA Management Lead Expert: In charge of defining operational strategies and resource needs, and providing administrative support for effective project design. 32 weeks @\$850 per week = \$27,200. b) PA Financial Expert: In charge of analyzing current and projected PA financing and describe barriers to improved PA financing. 6 weeks @ \$750 per week = \$4,500. c) Socio-economic Expert: In charge of assessing the local socio-economic benefits of the project. 10 weeks @ \$750 per week = \$7,500
3	Travel costs for PPG activities (national and international consultants).
4	Sundry expenses related to implementation of project activities.
5	Organizational expenses for consultation meetings and workshops, including the Final Validation Workshop.

Annex 1: GEF CEO PIF approval letter



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

May 9, 2014

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5761
Agency(ies):	UNDP
Agency ID:	5089 (UNDP)
Focal Area:	Biodiversity
Project Type:	Medium Size Project
Country(ies):	Dominica
Name of Project:	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System
Indicative GEF Project Grant:	\$1,707,306
Indicative Agency Fee:	\$162,194
PPG Grant:	\$82,192
PPG Agency Fee:	\$7,808
Funding Source:	GEF Trust Fund

1818 H Street, NW • Washington, DC 20433 • USA
Tel: +1 (202) 473 3202 • Fax: +1 (202) 522 3240
E-mail: gefceo@thegef.org
www.thegef.org

Ms. Adriana Dinu

- 2 -

May 9, 2014

This PIF 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 submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document

cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2: Summary of Consultants Financed by the Initiation Plan

Type of Consultant	Position/Titles	\$/Person Week	Estimated PWs	Total	Tasks to be Performed
Local	BD/PA Management Lead Expert	850	32 (GEF)	27,200	<p>The consultant will be responsible for carrying out the tasks related to PPG Component 1: Establishing national level PA management capacities (planning, financing, etc.), and piloting site level PA management activities (at the Morne Trois Pitons National Park) in order to establish a model for replication at other PA sites within Dominica. Refer to detailed activity descriptions in PIF. The consultant shall ensure equitable women's participation in all stages of the project preparation phase.</p> <p>The tasks will be carried out in close collaboration with the Ministry of Environment, Natural Resources, Physical Planning and Fisheries (MoE), in particular the Environmental Coordinating Unit with MoE, which has the primary responsibility for the management of all PAs; and with a number of other stakeholders mentioned in the PIF, such as the The Forestry, Wildlife and Parks Division within the Ministry of Agriculture and Forestry (MAF)) will take the leading role in establishing priorities and strategies for improved site-level PA management. The Ministry of Tourism will also participate in designing project activities within Morne Trois Pitons, in particular for the tourism sites within the park. Through these activities, the consultant will be pivotal in the</p>

					<p>mobilisation of co-financing for the project and in raising awareness among key conservation stakeholders on the project and its objectives and strategy.</p> <p><u>Key products will include:</u></p> <ul style="list-style-type: none"> • Defining operational strategies and resource needs, and providing administrative support for effective project design. • Providing methodological orientation to local experts and the Government of Dominica (GoD) to ensure a harmonized approach to data collection and consultation with stakeholders. This will include: a) review of methodologies proposed by different experts for data collection and reports; b) organization and support of meetings, consultations (i.e., threats analysis, logical framework, institutional and participation arrangements); and c) negotiation of project components with the different stakeholders. • Defining, in coordination with national authorities and other relevant stakeholders, the area and preliminary boundaries (mapping) for the buffer zones in MTPNP. • Baseline assessment of policy, legal/regulatory, and institutional frameworks for PA management, and recommendations for related project activities • Capacity for PA Management assessed using the UNDP Capacity Development Scorecard and preparing a capacity development strategy, in coordination with the Socio-economic Expert.
--	--	--	--	--	--

					<ul style="list-style-type: none"> • Detailed analysis of all project stakeholders and of stakeholder roles and responsibilities in the full project; • Communications strategies for targeted audiences in the MSP • Establishing the baseline management effectiveness for the target PA (MTRPNP) using the METT and in coordination with the International Project Planning and Monitoring Expert. • Coordinating, providing technical support and ensuring that GEF Sec, GEF Council, and/or STAP-related recommendations are properly addressed. • Holding meetings and consultations with relevant institutions to secure the co-financing and ensuring the receipt of co-financing letters. • Providing all required support to the International Project Planning and Monitoring Expert in the drafting of the project documentation in full and following UNDP and GEF guidelines.
Local	PA Financial Expert	750	6(GEF)	4,500	<ul style="list-style-type: none"> • Summary analysis of baseline investments with respect to the environment sector in general, and PA management in particular • Analysis of current and projected PA financing; completed PA Financial Sustainability Scorecard; description of barriers to improved PA financing; and recommendations for project activities to remove barriers
Local	Socio-economic Expert	750	10 (GEF)	7,500	<ul style="list-style-type: none"> • Assessing the local socioeconomic benefits of the project, including benefits to women. • Developing an action plan for the incorporation of gender aspects into the project, including specific activities to benefit women .

					<ul style="list-style-type: none"> • Identifying and assessing economic incentives to be used to promote biodiversity friendly agricultural and land management practices in buffer areas of MTP. • Identifying technical support needs for local inhabitants to undertake activities such as planting of fruit trees, reforestation with native species, and erosion control that will reduce pressures on the protected area and prepare a strategy to address these needs. • Stocktaking of data on fast growing species that can be encouraged in the buffer zone to support livelihood activities of persons that live in the area without impacting the PA forest. • Capacity for PA Management assessed using the UNDP Capacity Development Scorecard and preparing a capacity development strategy, in coordination with the BD/PA Management Lead Expert.
International	Project Planning and Monitoring Expert	2,750	12 (GEF)	33,000	<p>Through at least two missions to Dominica, and support from home base, the Project Planning and Monitoring Expert will closely coordinate with the national specialists to perform the following tasks:</p> <ul style="list-style-type: none"> • Providing an overall orientation to the PPG team in relation to GEF requirements for project planning and monitoring. • Providing methodological guidance for data collection related to project planning and monitoring, with particular attention given to the description and quantification of the baseline investments. • Defining and validating the project outcomes, outputs, and activities based on a logical framework

					<p>analysis and the results of the PPG studies undertaken by the team of experts.</p> <ul style="list-style-type: none"> • Assessing existing monitoring and evaluation systems of relevant institutions for BD in Dominica, and providing guidance and orientation to define indicators and quantify targets to track project progress and effectiveness. • Developing the results framework of the project. • Compiling the final baseline/situational analysis for the project based on the inputs from local experts and in close cooperation with the key national stakeholders. This will include a precise definition of baseline projects, activities, budgets, goals, and co-financing links to GEF outcomes; definition of GEF incremental value per outcome and output; and development of incremental cost matrices. • Preparing a quantified assessment of the project's global environmental benefits for BD conservation based on inputs from local experts, and best international practices. • Preparing the M&E plan and budget. • Drafting final project documentation, including: a) socioeconomic benefits of the proposed interventions at the national and local levels; b) environmental, social, financial, and institutional sustainability of proposed project activities; c) cost-effectiveness analysis of the project strategy and suite of activities compared with the alternatives; d) replicability strategy for project activities; e)
--	--	--	--	--	---

					<p>risk analysis of the proposed project activities and measures to mitigate risks; f) incremental cost analysis; and g) budget.</p> <ul style="list-style-type: none">• Ensuring that the Tracking Tool for BD and the Capacity Development Scorecard are completed following UNDP and GEF guidelines.• Completion of the Environmental and Social Safeguards Procedure Checklist.• Developing the Stakeholder Involvement and Public Participation Plan based on input from national experts, including an action plan for the incorporation of gender aspects into the project.• Participate in relevant consultation processes when in country.• Provide technical guidance on the scope of information required for the report on ecological conditions at targeted PA units and adjacent areas• Drafting ToRs for the key consultants/contracts to be employed by the project.• Performing final reviews of the required project documentation.
--	--	--	--	--	---