

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



Implementing a "Ridge to Reef" approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji
 Country: Fiji
 UNDAF Outcome (s) Area 1 (2013 – 2017): Environmental management, climate change and disaster risk management
 CP/CPAP Outcome(s) and Indicator(s):
 Outcome 1.1: Resilience strengthen at national and community level through the integrated sustainable environment management, climate change adaptation/mitigation and disaster risk.
 UNDP Strategic Plan 2008-2011 Key Result Area:
 Key result area 4.1: Mainstreaming environment and energy
 Project Output(s) and Indicator(s): Endorsed Project document for submission to GEF Secretariat for approval

Initiation Plan Start Date: July 2013

Initiation Plan End Date: July 2014

CPAP Programme Component: ATLAS Project Award: 00074333 ATLAS Project ID: 00086790 PIMS Project ID: 5216 Duration: 12 months Management Arrangement: DIM	Total budget: US\$ 250, 000 Allocated resources: <ul style="list-style-type: none"> • GEF US\$250, 000
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AGREED BY UNDP RESIDENT REPRESENTATIVE

Michael Clark
OFFICIAL INDICATOR

16/8/2013

Resident Representative a.i

Signature

Date: day/month/year

A. **Brief Description of Initiation Plan:**

The Ridge-to-Reef (R2R) concept is the appropriate integrated ecosystem approach for managing Pacific Island Countries (PICs) environmental and natural resources this is in recognition of the high level of interconnectivity between land, surface or groundwater, coastal/marine resources and ecosystems in the Pacific. As such, the Program will consist of ‘independent’ national projects drawing from the STAR and (as appropriate) GEF Adaptation funds. Fiji’s Ministry of Local Government, Urban Development, Housing and Environment through the Department of Environment had requested UNDP to assist them with their GEF 5 Ridge to Reef project PIF formulation. This initiation plan draws from the development of a full sized project for implementing a “Ridge to Reef” approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji.

A significant portion of Fiji’s economy is dependent on the exploitation of Fiji’s natural resource base with its fair share of significant development and environmental challenges. Fiji also experiences competing pressure for land resources to be used for agriculture, tourism, water and other needs. It is an important centre of globally significant marine and terrestrial biodiversity that is continuously threatened by pollution, invasive species, over exploitation, habitat loss and climate change. Fiji’s R2R project PIF has 4 Components; Conservation of Terrestrial and Marine Biodiversity, Conservation (BD), Restoration and Enhancement of Carbon Stocks through Sustainable Forestry (CC Focal Area and SFM / REDD +), Integrated Natural Resources Management for Adaptation to Climate Change (LD; IW; BD; SCCF), and Knowledge Management (All Focal Areas).

For the initiation plan a couple of different stages or processes have been identified in order to ensure the smooth transition of the preparation of the project document for final submission next year in February 2014. The Project Preparation Grant (PPG) is a preparatory phase for designing this full sized project through appropriate situation analysis with extensive and broad stakeholder consultations. A main objective of the PPG is to establish clear, accurate baseline information needed that is not available through anecdotal support, clarify GEF increment and plan activities that have a strong approach and linkages of the different outcomes of the project.

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with the view to further develop the approved project concept (see GEF PIF attached in Annex 1) into a fully formulated project document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement document following prescribed templates ready for submission to UNDP and GEF.

B. **Project preparation activities:**

A. Component A: Technical review, field surveys and preliminary studies

- I. **Baseline studies:** The current baseline can best be described as a lack of proper integrated environmental management with coordinated efforts across all the key stakeholders that comprise both terrestrial and coastal and marine interests. The project has been designed to assist in strategically programming their GEF STAR allocations in a manner that adheres to relevant GEF focal area objectives, outcomes, indicators and outputs. Specifically through GEF Biodiversity funds, the project will significantly strengthen the network of terrestrial and marine protected areas of Fiji. This will have a cascading effect in that it will not only improve overall ecosystem health, but it will protect valuable ecosystem services, improve tourism revenue, and promote global environmental benefits. Through GEF Land Degradation and SFM and CC mitigation funds, the project will considerably improve the Fijian landscape’s ability to sequester carbon and effectively utilize water resources whilst building capacity by testing innovative financing schemes, including REDD+, payment for ecosystem services, and forest certifications. Lastly, with the International Waters funds, the project will focus on improving integrated water resource management. However, the real strength of the GEF Trust Fund intervention will not be with piecemeal investments with each focal area. Rather, to achieve true ridge-to-reef

- management within the priority watersheds, the focal area investments will work together to address the various issues and support the different stakeholders that live along the Ridge to Reef transect, thereby achieving the various objectives of each focal area. Further, the project also provides to be a unique opportunity to build capacity of local professionals and governments, new stakeholder groups, and community leaders to build sufficient human capital on the islands for leading adoption of these integrated and participatory mechanisms to complement traditional measures. However, during the PPG stage baseline for each data required will be sort
- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.
 - III. Identification of specific sites for intervention. The priority watersheds or catchments have been identified during consultations in the preparation of the concept. These were also visited by UNDP and Fiji government counterparts. During the PPG, the specific sites within the priority watersheds for intervention under each GEF focal area will be identified and described.
 - IV. Integration with development plans, policies, budgets and complementary projects: During the PPG stages the Fiji R2R project will be thoroughly analysed and detailed so that the lessons and experiences during implementation could be integrated into development plans and into new and amended policies and complements or builds on from existing national projects and tying into the regional R2R project as well. This project is expected to achieve sustainable management of terrestrial, coastal and marine resources by reducing or eliminating damaging activities and promoting rehabilitating and sustaining activities by resource users who live in or visit the catchment area. This is the basis for this proposed project and the wider program: the Integrated management of complete catchment areas or the whole island for smaller mountainous and coral islands. Adoption of ICM policies and measures nationally will involve prior planning for infrastructure investments to avoid high risk areas and minimize vulnerability, so emergency costs for reacting to disasters should be less. These sites are intended as best practice demonstrations for the rest of the country.
 - V. Completion of GEF focal area tracking tool: Various GEF Tracking Tools (http://www.thegef.org/gef/tracking_tools) the BD tracking tools, GEF CC tracking tools, GEF SFM/REDD+ tracking tool and LD tracking tools includes the METT tracking tool. GEF IW tracking tools.
 - VI. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations. Emphasize that the consultations should be done at local and national levels.
- B. Component B: Institutional arrangements, monitoring and evaluation**
The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.
- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
 - II. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate

M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.

- III. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- IV. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- V. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post-GEF grant phase.
- III. Ensure completion of required official cofinancing commitment letters: 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 in Component C: Stakeholder consultations for component C will only occur after step I-III has been completed and Government support is endorsed through the GEF Operational focal point. Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations. Emphasize that the consultations should be done at local and national levels. A maximum of 3 or 4 national stakeholder consultations will be undertaken in order to get stakeholder collaboration into this project and financial support wherever possible in kind or in cash during PPG. However, there will be numerous stakeholder consultations at the local level especially for the project sites that has been identified under the components of the Fiji Reef to ridge project.

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	Budget US\$
	July 2013	August 2013	September 2013	October 2013	November 2013	December 2013	January 2014	February 2014	March 2014	April 2014	May 2014	12		
Component A													UNDP	105,000
Component B													UNDP	85,000
Component C													UNDP	40,000
Component D													UNDP	20,000
												Total	250,000	

D. Total Budget and Work Plan :

Award ID:	00074333
Award Title:	Implementing a "Ridge to Reef" approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji
Business Unit:	FJI10
Project Title:	Implementing a "Ridge to Reef" approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji
Project ID:	00086790
Implementing Partner (Executing Agency)	UNDP

¹ If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document

GEF Outcome/Atlas Activity	RESPONSIBLE PARTY/	FUND ID	DONOR NAME	Atlas BUDGETARY ACCOUNT CODE	Atlas Budget Description	Amount US\$				
PROJECT PREPARATION GRANT TO FINALIZE THE UNDP-GEF PROJECT DOCUMENT FOR PROJECT "IMPLEMENTING A "RIDGE TO REEF" APPROACH TO PRESERVE ECOSYSTEM SERVICES, SEQUESTER CARBON, IMPROVE CLIMATE RESILIENCE AND SUSTAIN LIVELIHOODS IN Fiji"	UNDP	62000	GEF TRUSTEE	71200	INTERNATIONAL CONSULTANTS	60,000				
				71300	LOCAL CONSULTANTS 25 X3	75,000				
				71600	TRAVEL	50,000				
				72500	SUPPLIES	20,000				
				74500	MISCELLANEOUS EXPENSES	15,000				
				75700	TRAININGS/MEETINGS/CONSULTATIONS	30,000				
				PROJECT TOTAL						250,000

Annex 1: GEF CEO PIF approval letter



Naoko Ishii, PhD
 Chief Executive Officer and Chairperson
 1818 H Street, NW
 Washington, DC 20433 USA
 Tel: 202 473 3302
 Fax: 202 522 3240/3245
 E-mail: Nishii@thegef.org

April 26, 2013

Ms. Adriana Dinu
 Deputy/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 the following submission is CEO cleared/approved and will be funded by the GEF Trust Fund:

Approval Stage:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5398
Agency ID:	5216 (UNDP)
Agency(ies):	UNDP
Project Type:	Full Size Project
Country(ies):	Fiji
Name of Project:	R2R - Implementing a "Ridge to Reef" Approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods
Parent Program:	Regional: R2R- Pacific Islands Ridge-to-Reef National Priorities - Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods – PMIS ID 5395
Indicative GEF Project Grant:	\$7,387,614
Indicative Agency Fee *:	\$664,884
PPG Grant ¹ :	\$250,000
PPG Agency Fee:	\$22,500

* Out of the above indicative Agency fee amount, Trustee will commit the first tranche (40%) of the Agency fee which is \$265,954 at the time of Council approval of the work program. The second tranche (60%) of the Agency fee which is \$398,930 will be committed at the time of CEO endorsement of the FSP.

¹ For Trustee: please note that the approved PPG Grant Amount and PPG Agency Fee should be tagged against and deducted from the parent program PMIS ID5395 listed above.

Ms. Adriana Dinu

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April 26, 2013

This PIF clearance and PFG approval are subject to the comments made by the GEF Secretariat in the attached 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.

The final project document should be submitted for endorsement no later than 18 months after Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Review Sheet

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

Annex 2: Summary of Consultants Financed by the Initiation Plan

Proposed Consultants to be procured for the PPG development
Local Consultants/Biodiversity expert
<p>Qualifications:</p> <ul style="list-style-type: none"> - Extensive experience in terrestrial and marine biodiversity, required - Work experience in Fiji necessary - Relevant advanced degree in natural sciences <p>Key Tasks:</p> <ul style="list-style-type: none"> - Lead the work to fully prepare component 1 of the PIF “Conservation of Terrestrial and Marine Biodiversity” - Contribute to the work of other team members - Liaise with government, communities and other development partners. <p>Deliverables:</p> <ul style="list-style-type: none"> - Inception report within the first week of the PPG - Preparing Component 1: contributions to the Strategic Results Framework; rationale for and detailed description of activities for each outcome and output; detailed budget; applicable GEF tracking tools (particularly BD and LD) - Contributions in preparing the various sections of the UNDP prodoc and CEO endorsement document
Local Consultants/Forestry Expert (National)
<p>Qualifications:</p> <ul style="list-style-type: none"> - Work experience on LULUCF and SFM/REDD+, required; - Work experience in Fiji and/or in any other Pacific Island country, preferred; - Relevant degree in forestry, required <p>Key Tasks:</p> <ul style="list-style-type: none"> - Lead the work to fully prepare component 2 of the PIF “Conservation, Restoration and Enhancement of Carbon Stocks through Sustainable Forestry” - Contribute to the work of other team members - Liaise with government, communities and other development partners <p>Deliverables:</p> <ul style="list-style-type: none"> - Inception report within the first week of the PPG - Preparing Component 2: contributions to the Strategic Results Framework; rationale for and detailed description of activities for each outcome and output; detailed budget; applicable GEF tracking tools (particularly CC5 and SFM/REDD+) - Contributions in preparing the various sections of the UNDP prodoc and CEO endorsement document
Local Consultants/ Institutional Expert (National)
<p>Qualifications:</p> <ul style="list-style-type: none"> - Familiarity with the Fiji’s governance (institutions, policies both at national and local levels), required - Work experience in Fiji and/or in any other Pacific Island country, necessary; - Relevant advanced degree in social sciences <p>Key Tasks:</p> <ul style="list-style-type: none"> - Lead the work to fully prepare component 3 of the PIF “Integrated Natural Resources Management” Liaise with government, communities and other development partners - Contribute to the work of other team members - Liaise with government, communities and other development partners <p>Deliverables:</p> <ul style="list-style-type: none"> - Inception report within the first week of the PPG - Preparing Component 3: contributions to the Strategic Results Framework; rationale for and detailed description of activities for each outcome and output; detailed budget; applicable GEF tracking tools (partly IW and contributing to the work of other team members) - Contributions in preparing the various sections of the UNDP prodoc and CEO endorsement document
International consultants/ Project Development Specialist (Team Leader)
<p>Key Attributes:</p>

Proposed Consultants to be procured for the PPG development

- Experience in successfully preparing UNDP and GEF project documents, essential;
- Work experience in Fiji and/or any other Pacific Island country preferred;
- Relevant advanced degree in natural and social sciences

Key Roles:

- Lead the PPG team in the preparing the UNDP project document and the GEF CEO endorsement document and all required annexes;
- Lead the work to fully prepare component 4 of the PIF “Knowledge Management”
- Liaise with UNDP (MCO and APRC) government and other partners

Deliverables:

- Inception report within the second week of PPG, building on the inputs of the team members
- Various drafts of the UNDP Project Document and the CEO endorsement document
- Final drafts of the UNDP prodoc and CEO endorsement document with all the required annexes including UNDP Environmental and Social Screening



30 July 2013

Dear Ms. Fujii,

Subject: Project Preparation Grant, Fiji: Implementing a “Ridge to Reef” approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji – PIMS No.5216 - ATLAS BU: FJ110 - Proposal No.: 00074333 - Project No.: 00086790

I am pleased to delegate to you the authority to sign the Initiation Plan for the above-mentioned Project Preparation Grant (PPG) / Programme Cooperation Budget (PCB) on behalf of UNDP, and to commence development of the main project. As per Rule 116.05 of the UNDP Financial Regulations and Rules (Executive Board Decision 2005/1), this document becomes effective when signed by the Resident Representative. The Initiation Plan, which amounts to a total of US\$250,000, has received its final approval in accordance with the established GEF procedures (CEO approval letter for the PPG/PCB attached for ease of reference).

I am also pleased to provide a summary of the next steps in the process and to outline, for your easy reference, the mandatory GEF-specific project financial and results management requirements. In addition, a number of Advisory Notes have been prepared to support the implementation of UNDP supported GEF funded projects, these and further clarification on the GEF project cycle and requirements, can be found in the UNDP GEF Programming Manual at <http://intra.undp.org/gef>.

Next steps and mandatory GEF-specific requirements:

1. **Issuance of Authorized Spending Limit (ASL):** To facilitate a quick start to the PPG/PCB, once the Initiation Plan is signed, please kindly ensure that the Atlas-generated *Annual Work Plan (AWP)* based on the *Total Budget and Annual Work Plan* in the attached document, along with a copy of the signed cover page, is sent to *Mr. Jose Padilla*, Regional Technical Advisor (RTA) in Bangkok.

Any proposed budget revisions should be forwarded to the UNDP RTA together with a clear explanation of the changes proposed as any significant changes require review and approval. In addition, please note that UNDP/GEF is not in a position to increase the project budget above the amount already approved by the GEF Council. Therefore, any over-expenditure on this project would have to be absorbed by other Country Office resources.

2. **GEF-specific project management requirements:**

- Any changes contemplated with respect to the project objectives and outcomes will have to be discussed with and approved by the UNDP/GEF RTA, as they will have to be reported to the GEF.

Ms. Akiko Fujii
Resident Representative a.i
UNDP Fiji

United Nations Development Programme

- The final FSP must be ready by February 2014 as recorded in the Initiation Plan. The Regional Technical Advisor will advise you of the expected timeline for submission of the final proposal for the purpose of internal UNDP clearance prior to submission to the GEF Secretariat.
- The final submission of the FSP that is prepared with this preparation grant must be accompanied by a “GEF PPG/PCB Status Report”. The template can be obtained from the UNDP GEF Programming Manual <http://intra.undp.org/gef>
- This preparatory phase must be operationally completed in Atlas once the main project is endorsed/approved by the GEF CEO. Financial closure should follow within 12 months, but preferably within the same calendar year.
- Annex 2 includes a number of key UNDP/GEF management performance indicators that aim to improve the efficiency and effectiveness in the oversight and supervision services provided. Performance against these indicators will be monitored on an annual basis.
- In order to accord proper acknowledgement to the GEF for providing funding, full compliance is needed with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). The GEF Guidelines can be accessed at: http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf. Full compliance is also required with UNDP’s branding guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>.

In concluding, I would like to assure you of UNDP/GEF’s and my personal commitment to a successful implementation of the project. The Regional Technical Advisors are at your disposal for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me.

Yours sincerely,



Adriana Dinu
Officer in Charge and
Deputy Executive Coordinator,
UNDP-GEF

cc: Mr. Ajay Chhibber, Assistant Administrator and Bureau Director, RBAP
Mr. Jose Padilla, UNDP/GEF Regional Technical Advisor, Bangkok, Thailand