



INITIATION PLAN TEMPLATE

FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol

Country: Global

Initiation Plan Start Date: January 2015

Initiation Plan End Date: September 2015

UNDP Strategic Plan (2014-2017) [\[Link\]](#) **Primary Outputs:**

(2.5) Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

Secondary Output: [From *UNDP's Biodiversity and Ecosystems Global Framework 2012-2020*:] **(Signature Program #1):** Integrating biodiversity and ecosystem management into development planning and production sector activities to safeguard biodiversity and maintain ecosystem services that sustain human wellbeing. [\[Link\]](#)

ATLAS Award ID: 00081821

ATLAS Project ID: 00090972

Management Arrangement: DIM

PAC date: 9 January 2015

Total budget: **US\$300,000**

Allocated resources (cash):

- GEF **US\$300,000**

AGREED BY UNDP

A handwritten signature in blue ink, appearing to read 'Stan Nkwain', written over a blue circular stamp or seal.

Stan Nkwain
Deputy Director, BPPS

Date: 20 January 2015

A. Brief Description of Initiation Plan:

The “Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol” project is in direct response to the decision at the Second meeting of the Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ICNP-2) held in Delhi, July 2012, where the Conference of the Parties “Reiterates its invitation to the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol and its implementation.”

The full-size global project aims at supporting up to 25 countries that have completed national strategies-plans and/or NBSAPs or National Reports that include explicit references to national ABS frameworks and the Nagoya Protocol. These participating countries will also need to provide proof of a “baseline project”, that is, the ABS investments over the duration of this project that will take place whether or not this GEF project is funded. The level of support will take into account a preliminary assessment of needs not already covered by current ABS investments. This preliminary assessment will include the development of a decision-making matrix identifying the specific gaps to be filled by this project in the participating countries. The information will be country-specific and derived from the scoping study carried out to identify the gap.

The overall approach for the project strategy and main components of the project were identified during the preparation of the PIF. However, PPG resources are needed to support detailed analyses and consultations, and to define the roles and responsibilities of different institutions for project implementation, as the PPG process will seek to identify, assess and engage the potential partner countries, and concretize a globally-representative list of participating States.

In addition, since financial resources are not enough to support all of the 144+ GEF eligible countries, the following criteria will be used for the selection of up to 25 countries:

TIER 1: Countries that have ratified the protocol prior to PIF approval by the GEF Council (38 as of June 12, 2014, as listed in <http://www.cbd.int/abs/nagoya-protocol/signatories/default.shtml>), or will ratify the Protocol during the project preparation (12 months after PIF approval). Countries that have already benefited from one or more of the country-based or a regional projects funded by the GEF (Trust Fund or NPIF), or by a project from another institution (e.g., ABS Capacity Development Initiative or bilateral) could participate in this new project. During the PPG phase, the project will identify areas of support not already covered by any of the existing projects.

TIER 2. Countries that have not ratified or will not ratify during project development (CEO Endorsement), but are actively working toward accession. Countries that require the development of the legal and administrative measures for the relevant National Authorities to request accession to the Nagoya Protocol (NP), may fall into this category. Same considerations regarding participation when countries have already benefited from previous projects (see TIER 1).

TIER 3. Countries that will not accede in the near future but have strong political support. During the PPG phase, the project will identify areas of support not already covered by any of the existing projects.

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

B. Project preparation activities:

A. Component A: Technical review

- I. Identification of specific sites for intervention: Since financial resources are not enough to support all of the 144+ GEF eligible countries, the following criteria will be used for the selection of up to 25 countries:
 1. Selection of countries using the TIER criteria mentioned in Section A and a decision making matrix.
- II. Baseline studies:
 1. Preliminary assessment of needs not covered by current ABS investments and gap analyses in each of the selected countries.
 - a. Identification and assessment of gaps in relation to each of the outcomes and outputs of the PIF (e.g., national ABS legal/policy frameworks and linkages with national policies on scientific and technological innovation, research and development at sectoral level, capacities of ILCs, etc.).
 - b. Preparation of a gap analysis matrix, identifying the specific gaps to be filled by the project in each country.
 - c. Proposal of outcomes and outputs per country aligned and consistent with each of the outcomes and outputs of the indicative project framework of the PIF.
 - d. Identification and engagement of key stakeholders including indigenous peoples and local communities (ILCs), ensuring the active involvement of women's organizations in all phases of the process.
 - e. Assessment of ABS capacities of national and state competent authorities and related agencies for the baseline of project indicators using the ABS Tracking Tool or the ABS Capacity Development Scorecard.
 - f. Scoping of existing and emerging initiatives and opportunities for biodiscovery projects (ABS incubators) and identification of potential research needs necessary to add value to their own genetic resources and traditional knowledge associated with genetic resources.
 - g. Estimation of percentage of stakeholders (government officials, population of researchers, local communities, and relevant industry) to be targeted by the campaign to raise awareness on the ABS national frameworks, CBD and Nagoya Protocol provisions related to ABS and traditional knowledge (TK).
 - h. Measurement of baseline for capacities of local ILCs to negotiate ABS agreements using the ABS Tracking Tool (if available) or the ABS Capacity Development Scorecard.
 - i. Determination of baseline investments in each of the participating countries related to ABS.
- III. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.
- IV. Integration with development plans, policies, budgets and complementary projects: This project will coordinate activities with the ongoing GEF projects funded using STAR and NPIF financial resources in GEF-4 and GEF-5. Since 2012, UNDP has consolidated implementation of the third objective of the CBD through GEF-funded projects that facilitate not only the ratification of the Nagoya Protocol but also access to genetic resources and benefit-sharing in about 20 countries.

UNDP is working with governments and stakeholders in developing countries that already have a policy framework in place for ABS in order to assist them in accessing financing and to facilitate ABS deals such as sustainable ethical biodiscovery programs or deals between corporations interested in accessing genetic resources and organizations representing the providers of these resources. In this context, UNDP is also supporting local and indigenous communities for the development of payment and benefit-sharing mechanisms and bio-cultural community protocols. This project will also coordinate activities with the projects funded by the ABS Capacity Development Initiative in the Pacific, Africa, Asia and LAC.

- V. 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.

B. Component B: Institutional arrangements, monitoring and evaluation

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

- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMARTError! Bookmark not defined. indicators, and end-of-project targets. Special attention will be made to include socio-economic and gender disaggregated indicators.
- II. Definition of monitoring and evaluation (M&E) Plan: 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.
 - 1. The project will be implemented by the UNDP under the Direct Implementation Modality (DIM); specific management arrangements will be defined and agreed among the participating countries to ensure coordination of actions and project follow up.
 - 2. An Advisory Committee will be established for the development and implementation of this project. The committee will include ABS consultants, institutions and organizations such as the ABS Capacity Development Initiative, actively working in supporting countries with the ratification and implementation of the Nagoya Protocol. The Committee's advice will be used in the preparation of the CEO Endorsement, and regularly during implementation to ensure the project is advancing as planned and make the necessary adjustments to deliver the agreed outcomes.
- V. Stakeholder consultations during Component B: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going country projects to align their activities and the project to build synergies. Document these consultations. 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. 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 for each participating country. 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: Undertake consultations to secure agreement(s) on project implementation arrangements, including roles, responsibilities, and accountabilities of lead country. Document these consultations.

D. Component D: Validation workshop

Four regional validation workshops will be held to gather representatives from all relevant stakeholders to present, discuss, and validate the final draft project document.

E. Component E: Final project documentation

- I. Incorporate all technical inputs and results of consultations into a Project Document (including annexes) following all UNDP guidelines and requirements.
- II. Develop the GEF CEO Endorsement Request using the latest template.

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

PPG Activity	Timeframe (in months) ¹										Responsibility*	Budget
	1	2	3	4	5	6	7	8	9	10		
Component A: Technical review												US\$ 207,750
I. Identification of participating countries	X										IC, UNDP RTA	
II. Baseline studies	X	X	X	X	X						RC	
III. Environmental/social screening related studies		X	X								RC	
IV. Integration with related initiatives			X	X							RC	
V. Completion of GEF focal area tracking tool					X						IC, RC	
VI. Stakeholder consultations	X	X	X	X							RC	
Component B: Institutional arrangements, monitoring and evaluation												11,083
I. Development of project results framework	X			X							IC, RC, UNDP RTA	
II. Definition of the M&E Plan					X						IC	
III. Definition of the sustainability plan					X						IC	
IV. Definition of management arrangements						X					IC, RC	
V. Stakeholder consultations			X	X	X	X					IC, RC, UNDP RTA	
Component C: Financial planning and co-financing investments												11,083
I. Prepare a detailed multi-year budget						X					IC	
II. Explore multilateral/bilateral co-financing opportunities	X	X	X	X	X	X					IC, RC, UNDP RTA	
III. Obtain official endorsement letters			X	X	X	X					IC, UNDP RTA	
IV. Stakeholder consultations			X	X	X	X						
Component D: Validation workshop									X		IC, RC, UNDP RTA	59,000
Component E: Final project documentation												11,084
I. Draft the UNDP Project Document (including annexes)						X	X			X	IC	
II. Develop the GEF CEO Endorsement Request								X		X	IC	

*IC – International Consultant; RC – Regional Consultant; UNDP RTA – Regional Technical Advisor

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

D. Total Budget and Work Plan:

Project Title:	Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol
Business Unit:	UNDP1
Award ID:	00081821
Project ID:	00090972
PIMS N°:	5381
Implementing Partner (Executing Agency)	United Nations Development Programme (DIM)

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Note
Project preparation grant to finalize the UNDP-GEF project document for project "Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	33,250	1
				71200	International Consultants	111,600	2
				71600	Travel	142,400	3
				74500	Miscellaneous Expenses	4,750	4
				75700	Trainings (Validation workshops)	8,000	5
					PROJECT TOTAL	300,000	

BUDGET NOTE #	DESCRIPTION
1	71200 International Consultant. (1) Project Planning and Monitoring Expert: In charge of providing guidance to the team of Regional ABS/Nagoya Protocol Experts and preparing the Prodoc and CEO Endorsement Request documents, along with the rest of the files pertaining to the submission package to the GEF. 70 consultant work days at \$475 per day = \$33,250.
2	71200 International Consultants. (4) Regional ABS/Nagoya Protocol Experts: In charge of assessing legal/policy ABS frameworks in the participating countries of their assigned regions, prepare baseline and gap analyses and engage relevant stakeholders, under the guidance of the Project Planning and Monitoring Expert. 60 consultant work days at \$465 per day for a total of 4 consultants = \$111,600.
3	<p>71600 Travel.</p> <p>Regional Travel: Travel expenses to 25 countries to undertake consultations and assessments. Each one of the 4 consultants will be in charge of a group of 6-7 countries, and will conduct one mission to each one of the countries in his/her “portfolio”. Hence, there will be a total of 25 one-person missions. (25 countries * \$1,000 airfare = \$25,000)+ (25 countries * \$300 DSA * 8 days = \$60,000) = \$85,000</p> <p>Travel to Regional Validation Workshops:</p> <p>a) Travel expenses for Regional Consultants to attend the 4 Regional Validation Workshops. Each consultant will attend one of the 4 Regional Validation Workshops. (4 consultants * \$1,000 airfare = \$4,000) + (4 consultants * \$300 DSA * 2 days = \$2,400) = \$6,400</p> <p>b) Travel expenses to cover participation in the Regional Validation Workshops of one representative from each of the 25 countries. (25 countries * 1 person per country * \$1,000 airfare = \$25,000) + (25 countries * 1 person per country * 2 days * \$300 DSA = \$15,000) = \$40,000</p> <p>International Consultant: Travel expenses to attend Regional Validation Workshops and consultation meetings (4 Workshops * \$1,850 airfare = \$7,400) + (4 workshops * (\$300 DSA * 3 days) = \$3,600) = \$11,000</p>
4	74500 Miscellaneous Expenses. Bank charges, insurance, and other sundry costs associated to the project.
5	75700 Training. Logistics: 4 workshops * \$2,000 = \$8,000.

Annex 1: GEF CEO PIF approval letter



Naoko Ishii, PhD
Chief Executive Officer and Chairperson

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April 01, 2014

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:	5731
Agency(ies):	UNDP
Agency ID:	5381 (UNDP)
Focal Area:	Biodiversity
Project Type:	Full Size Project
Country(ies):	Global
Name of Project:	Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol
Indicative GEF Project Grant:	\$12,000,000
Indicative Agency Fee:	\$1,080,000
PPG Grant:	\$300,000
PPG Agency Fee:	\$27,000
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	GET	\$432,000	\$648,000	\$1,080,000

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.

Ms. Adriana Dinu

- 2 -

April 01, 2014

Please submit your final project document for my endorsement no later than 18 months after 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: Summary of Consultants Financed by the Initiation Plan

Type of Consultant	Position / Titles	\$/Person Day	Estimated PDs	Summary Tasks to be Performed
Regional Consultants (4)	ABS/Nagoya Protocol Experts	465	60	<ul style="list-style-type: none"> – Assessment of national ABS legal/policy frameworks and linkages with national policies on scientific and technological innovation, research and development at sectoral level – Identification and engagement of all stakeholders including indigenous peoples and local communities (ILCs), ensuring the active involvement of women’s organizations – Assessment of ABS capacities of national and state competent authorities and related agencies for the baseline of project indicator using the ABS Tracking Tool or the ABS Capacity Development Scorecard. – Scoping of existing and emerging initiatives and opportunities for biodiscovery projects and identification of potential research capabilities necessary to add value to their own genetic resources and traditional knowledge associated with genetic resources. – Estimation of percentage of stakeholders (government officials, population of researchers, local communities, and relevant industry) to be targeted by the campaign to raise awareness on the ABS national frameworks, CBD and Nagoya Protocol provisions related to ABS and TK. – Develop proposals for ABS bio-cultural community protocols and TK registers to be adopted by local communities – Measurement of capacities of local ILCs to negotiate ABS agreements for the baseline of the relevant indicator using the ABS Tracking Tool or the ABS Capacity Development Scorecard – Determination of baseline investments in each of the participating countries – Preparation of a gap analysis matrix, identifying the specific gaps to be filled by the project in each country – Application of baseline knowledge, attitudes and practices (KAP) assessment surveys, targeting specific groups (ILCs, researchers and relevant industries) that may use or benefit from ABS transactions. – Develop proposals for the development of “ABS Incubators” as an innovative mechanism to promote ABS agreements

				<ul style="list-style-type: none"> – Evaluation of opportunities/risks as a basis for the development of the environmental and social screening proposal for the project – Identification of development plans, policies, budgets and complementary projects in each selected country – Support the International Consultant in the completion of the ABS tracking tool by providing relevant information by country – Mobilize and engage stakeholders during country visits and document all consultations – Participate in the development of the project results framework by providing baseline information – Outline project activities to be implemented per country and costing of activities – Support the exploration of co-financing opportunities – Support the organization and participate in regional validation workshops
International	Project Planning and Monitoring Expert	475	70	<p>The International Project Planning and Monitoring Expert will closely coordinate with the team of regional experts, with at least two missions as well as home-based work, 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. – Selection of countries using the TIER criteria mentioned in Section A of the Initiation Plan and a decision making matrix jointly with the UNDP-GEF Global Adviser on ABS. – Defining and validating the project outcomes, outputs, and activities based on a logical framework analysis and the results of the PPG studies undertaken by the team of experts. – Developing the results framework of the project. – Compiling the final baseline/situational analysis for the project based on the inputs from regional 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

			<p>incremental cost matrices.</p> <ul style="list-style-type: none"> – Support the exploration of co-financing opportunities and follow up in coordination with UNDP Country Offices and the UNDP-GEF Global Adviser on ABS. – Preparing a quantified assessment of the project’s global environmental benefits for biodiversity conservation based on inputs from regional experts and international standard criteria for effective MPA management. – Preparing the M&E plan and budget. – Developing the environmental and social screening proposal for the project jointly with the UNDP-GEF Global Adviser on ABS. – Drafting final project documentation, including: i) socioeconomic benefits of the proposed interventions at the national and local levels; ii) environmental, social, financial, and institutional sustainability of proposed project activities; iii) cost-effectiveness analysis of the project strategy and suite of activities compared with the alternatives; iv) replicability strategy for project outcomes; v) risk analysis of the proposed project activities and measures to mitigate risks; vi) incremental cost analysis; and (vii) budget. – Ensuring that the ABS tracking tool is completed following UNDP and GEF guidelines. – Developing the Stakeholder/Country Involvement plan based on input from regional experts, including an action plan for the incorporation of gender aspects into the project. – Drafting TORs for the key consultants/contracts to be employed by the project. – Performing final reviews of the required project documentation.
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