



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

Project Title: “GEF International Waters: Learning Exchange And Resources Network (IW:LEARN)”

Project Objective: To strengthen knowledge management capacity and promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments.

Country: Global

Initiation Plan Start Date: 1 August 2014

Initiation Plan End Date: 31 December 2014

CPAP Programme Component: NA
ATLAS Project Award: 00081358
ATLAS Project ID: 00090660
PIMS Project ID: 5337
Management Arrangement: DIM

Total budget: **US\$140,000**
Allocated resources:
• GEF US\$ 140,000

AGREED BY UNDP

Ms. Adriana Dinu
Executive Coordinator and Director
a.i
UNDP/GEF

Signature

Date: day/month/year

A. Brief Description of Initiation Plan:

The objective of this Project Preparation Grant (PPG) is to develop a full project document for a global UNDP-UNEP/GEF project in the International Waters Focal Area. The Project is designed to strengthen knowledge management capacity within GEF IW projects and to promote scaled-up learning of disseminated experiences, tools and methodologies for transboundary waters management—across and beyond the GEF IW portfolio, together with a global network of partners—in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments.

Proven IW:LEARN and other portfolio learning project activities are ready to be scaled up portfolio-wide, to enhance the application of GEF IW experiences to improve portfolio quality and mainstream the capacity to address transboundary concerns. The need for a new GEF IW:LEARN project lies in the continued demand for: 1) assisting projects in acquiring relevant knowledge related to transboundary waters management in order to improve future project design; 2) enhancing the understanding and application of GEF IW experiences across the portfolio to produce better quality project results; 3) facilitating the replication and scaling up of good practices in transboundary waters management, resulting in lower costs and improved capacity to address transboundary concerns; and 4) ensuring that insights generated through project interventions are shared and add value to the portfolio and beyond.

IW:LEARN will engage with new partners in the public and private sector, building partnerships that can lead to new and innovative ways to manage the wealth of transboundary water management knowledge for the benefit of the IW community (composed of IW project managers and staff, government officials, local communities, transboundary commissions, non-governmental organizations, the GEF agencies and the private sector) and deliver on the requirements of the GEF5 Focal Area strategy, as well as many of those in the eventual GEF6 Programmatic Directions.

The proposed project includes five inter-related and mutually supportive components: 1) Support the harvesting, dissemination and replication of portfolio & partner results, data and experience; 2) Share knowledge across projects and partners (through dialogue processes and face-to-face capacity building) to advance transboundary water management; 3) Expand global freshwater Communities of Practice, to advance conjunctive management of surface, ground and marine waters and partner with new enterprises on initiatives to better manage international waters; 4) Promote GEF IW results, tools & best practice to the non-GEF community to increase awareness, replication, scalability and sustainability of GEF IW investments; and 5) Launch programmatic tools to improve portfolio performance and sustain project interventions.

PPG funding, in combination with agency co-finance contributions will support the design of the proposed full-size project, which cuts across all GEF IW strategic. The following activities will be undertaken during the PPG phase:

- ◆ 1) strategic documents and accompanying analysis will be produced. These documents will include the development of a knowledge management strategy will ensure effective activity delivery through improvement of knowledge flows; an analysis of the GEF IW portfolio to design the capacity development strategy of the project and to refine the structure and content of training courses, synthesis documents, and twinnings, among other outputs.
- ◆ 2) consultancies will support the preparation of all full-sized project activities, including specifying the design, terms of reference, scoping, identification of specific partner contributions and co-financing for project activities.

- ◆ 3) the identification, design and consensus on project activities will result in a project annual work plan & budget, defined roles and responsibilities (with accompanying terms of reference) and ultimately, project documents for both project implementing agencies, to be prepared with support of consultants.
- ◆ 4) stakeholder consultation with all key partners will provide validation of the Project design to ensure it meet IW portfolio needs.

These consultations will address the design of appropriate mechanisms to facilitate the smooth coordination, implementation, monitoring, and management of the envisioned project components.

The Initiation Plan will be directly implemented by the UNDP/GEF Regional Coordination Unit in Istanbul. UNDP RCU will be responsible for the selection and recruitment of PPG consultants (local and international), arranging travel and meetings, maintaining project disbursements, regular financial reporting. A tentative list of local and international consultants to be financed by the PPG is attached to this PPG proposal.

The PPG Atlas budget is presented in the Section III. “Total Budget and Work Plan”.

A PPG Stakeholder Board, consisting of project partners, will be established to review and endorse PPG outcomes.

B. Project Preparation Activities

PPG will cover the following preparatory activities:

Component A. Technical Review

I. Baseline studies:

The technical review will include the development of multiple strategic documents, including an IW Knowledge Management Strategy and IW Portfolio Mapping.

The PPG will finance the development of a strategy based on the approaches to KM that have been informally utilized and developed to-date by IW:LEARN, codifying how the focal area sustainably learns from itself and strategically replicates its own success within projects. The document will illustrate and determine the essential knowledge flows that need to regularly take place between projects, GEF, GEF agencies and the suite of global, regional & national portfolio partners. This study could help inform plans to scale-up GEF IW:LEARN to other focal areas and thus make a singular contribution to the plans for GEF6 and GEF2020

The overall project design responds directly to requested services and new innovations, GEF IW:LEARN’s activities must be perfectly aligned with the stated needs of its primary stakeholders, the GEF IW project portfolio. To achieve this alignment, the PPG will support an IW portfolio mapping exercise that will identify and analyze project education and training needs, compatible experience sharing, and gaps in the support of ecosystem-based management. A consultant will be tasked with engaging with all active and pipeline projects in order to identify project components, training and support needs through the conduct of a portfolio survey, in close consultation with the GEF and GEF Agencies. The consultant will also map out the sequencing of the projects, mapping where they will be in

their implementation during the life of the proposed project (2014-2018). The result of the analysis will be used to design the capacity development strategy of the project and to refine the structure and content of several project outputs, including inter alia, training courses, synthesis documents, newsletters/blogs, global dialogues, website linkages, ICT training and particularly project-project twinning and regional workshops.

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal
- III. Integration with development plans, policies, budgets and complementary projects. The project will specifically liaise with the other GEF IW funded portfolio learning projects, in particular the the UNDP-GEF “*Strengthening Global Governance of Large Marine Ecosystems and Their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tool*” (a project that will establish a dynamic global support network for the GEF LME and ICM projects for practitioners needed to increase the capacity of countries to realize adaptive ecosystem-based management and governance).
- IV. Completion of GEF international waters focal area tracking tool
- 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.

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.

The PPG phase will support the background preparatory work needed to gather more detailed information in order to refine the design of the project activities and to identify the requirements for their implementation. The purpose of the PPG will be to tailor the project design to meet the immediate needs of the GEF IW:LEARN community and to plan a sustainable long-term future for IW:LEARN from the outset. The PPG activities will be closely coordinated with the LME/ICM Governance project and TWAP in order to ensure the approach complements the activities and outputs of these parallel projects.

To prepare this project, local and international consultants will be recruited to undertake the necessary stakeholder consultations and baseline/gap analysis required for the design of the project’s activities. Several PPG consultancies will scope out activities to be undertaken during the full-sized project implementation. The consultancies will identify specific partner contributions, scope for partner co-financing (as already assessed and above), terms of reference for subsequent contracting and procurement, coordination arrangements (particularly with identified additional relevant global/regional initiatives the project should coordinate with), and define how any such coordination would function. Various institutions have already expressed a strong desire to partner on specific project activities and it may be possible to realize additional co-financing with such efforts. While these efforts will build upon the existing partnerships and synergies that have already been established with institutions on a global scale, it will be necessary to achieve these agreements during the PPG in a clear and transparent manner to avoid confusion among partners.

The PPG phase will support work on preparing background information for the envisioned activities, including inter alia, project visualization tool, website linkages, guidelines for learning exchanges and twinnings; identification of key content matter and needs for an awareness-raising kit, system to deliver online training courses, freshwater communities of practice, private sector engagement, global dialogue partners, definition of objectives and methodologies for economic valuation, SAP good practice replication and SAP community-level engagement activities; and scoping for the IW journal and International Waters Conferences. Lines of accountability will be defined and a common understanding of the project's totality among all partners will ensure coherent delivery.

The Component will eventually result in the following outputs:

- a. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMARTError! Bookmark not defined. indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- b. 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.
- c. 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.
- d. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- e. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong 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.

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: 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. Relevant consultations on the co-financing will also take place under this component.

Component D. Validation Workshop

This PPG component will ultimately have as an outcome, customization and consensus on project activities through a final stakeholder consultation. A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

Final project documentation preparation will include:

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

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

PPG Activity							Responsibility	Budget
	1	2	3	4	5	6		US\$
Component A: Technical review								35,500
II. Baseline studies	X	X	X				IC	
II. Environmental/social screening related studies	X	X	X				IC	
III. Integration with related initiatives	X	X	X				IC	
IV. Completion of GEF focal area tracking tool			X				IC,	
V. Stakeholder consultations	X	X	X				IC, UNDP RTA	
Component B: Institutional arrangements, monitoring and evaluation								\$73,250
I. Development of project results framework			X	X	X	X	IC	
II. Definition of the M&E Plan					X		IC	
III. Definition of the sustainability plan			X	X	X	X	IC	
IV. Definition of management arrangements			X	X	X	X	IC	
V. Stakeholder consultations			X	X	X	X	IC, UNDP RTA	
Component C: Financial planning and co-financing investments								\$5,000
I. Prepare a detailed multi-year budget				X	X	X	IC	
II. Explore multilateral/bilateral co-financing opportunities				X	X	X	IC, UNDP RTA	
III. Obtain official endorsement letters					X	X	IC, UNDP RTA	
IV. Stakeholder consultations					X	X		
Component D: Validation workshop							IC, UNDP RTA	\$26,250
I. Conduct PPG validation workshop				X				
II. Draft the UNDP Project Document (including annexes)					X	X	IC	
III. Develop the GEF CEO Endorsement Request					X	X	IC	

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

F. Total Budget and Work Plan:

Award ID:	00081358
Award Title:	PIMS 5337 IW PPG GEF International Waters:Learning Exchange And Resources Network (IW:LEARN)
Business Unit:	UNDP1
Project Title:	PIMS 5337 IW PPG GEF International Waters:Learning Exchange And Resources Network (IW:LEARN)
Project ID:	00090660
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 Notes
Project preparation grant to finalize the UNDP-GEF project document for project: “GEF International Waters: Learning Exchange And Resources Network (IW:LEARN)”	UNDP	62000	GEF TRUSTEE	71200	International Consultants	\$109,000	1
				71600	Travel	\$11,554	2
				72400	Communications	\$2,500	3
				74500	Miscellaneous Expenses	\$14,000	4
				75700	Workshops	\$2,946	5
					PROJECT TOTAL	\$140,000	

BUDGET NOTE #	DESCRIPTION
Template effective 29/12/2011	<p>71200 International Consultants (\$109,000)</p> <ul style="list-style-type: none"> ◆ Project Management Specialist (\$35,500) <ul style="list-style-type: none"> ○ Budget will support a project management specialist to handle the overall PPG management, preparation consultant ToR's, conduct of a portfolio analysis to provide baseline information for the project document, conduct planning for the International Waters Conference, and support overall project development ○ 71 days at \$500 ◆ Freshwater CoP Development Specialist (\$18,750) <ul style="list-style-type: none"> ○ Assess use of CoPs in IWL (baseline report for ProDoc), negotiate with partners and provide draft suggestion for IWL4 CoP ○ 25days x \$750 ◆ TDA/SAP Development Specialist (\$6,000) <ul style="list-style-type: none"> ○ Preparation of program to guide SAP implementation at the community level and activity to expand TDA/SAP methodology through analytic study of good practices with SAP Implementation ○ 8 days x \$750 ◆ Economic Valuation Specialist (\$6,000) <ul style="list-style-type: none"> ○ Preparation of activity to systematically integrate economic valuation of natural resources into the TDA/SAP process ○ 8 days x \$750 ◆ Project Development Specialist (\$26,250) <ul style="list-style-type: none"> ○ Support the development of project documentation for both implementing agencies ○ 35 days x \$750
2	<p>71600 Travel (\$11,554)</p> <ul style="list-style-type: none"> ◆ Validation Meeting (\$6,554) <ul style="list-style-type: none"> ○ Funds will support participation of non-executing partner project stakeholders to attend the PPG Validation meeting ◆ IWC8 Scoping Mission (\$5,000) <ul style="list-style-type: none"> ○ Travel will be used to support a week-long scoping mission to Vietnam and the Philippines to coordinate with PEMSEA, the Government of Vietnam, UNDP Vietnam and other partners to implement the IWC8 (travel cost of \$2000, plus 12 days of DSA on average at \$250)
3	<p>72400 Communications (\$2500)</p> <ul style="list-style-type: none"> ◆ Virtual Teleconferences & Meetings (\$2,500) <ul style="list-style-type: none"> ○ Funds will support communications costs for virtual meetings and teleconferences as well as the preparation of outreach material for the IWC8 scoping mission
4	<p>74500 Miscellaneous Charges (\$14,000)</p> <ul style="list-style-type: none"> ◆ UPL Charges and other execution costs associated with the direct implementation of the PPG
5	<p>75700 Workshops (\$2,946)</p> <ul style="list-style-type: none"> ◆ Validation Meeting (\$2,946) <ul style="list-style-type: none"> ○ Funds will support catering and other related costs of the PPG validation workshop (catering estimated at up to \$750 per day on average including 1 evening meal, 2 daytime meals, coffee breaks as well as other workshop related preparation of materials and hosting costs)

Annex 1: GEF CEO PIF approval letter



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

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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

Ms. Brennan Van Dyke
GEF Executive Coordinator
United Nations Environment Programme
Nairobi 00100, Kenya

Messrs. Dinu and Van Dyke:

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:	5729
Agency(ies):	UNDP and UNEP
Agency ID:	5337 (UNDP)
Focal Area:	International Waters
Project Type:	Full Size Project
Country(ies):	Global
Name of Project:	GEF International Waters: Learning Exchange and Resources Network IW LEARN
Indicative GEF Project Grant:	\$4,987,500
Indicative Agency Fee:	\$473,813
PPG Grant:	\$140,000
PPG Agency Fee:	\$13,300
Funding Source:	GEF Trust Fund

Break-down:		Grant Amount (US\$)	Agency Fee (US\$)			Total (US\$)
Agency	Trust Fund		40% committed at Council Approval	Fees to be committed at CEO Endorsement	Total Agency Fee	
UNEP	GEFTF	\$1,000,000	\$38,000	\$57,000	\$95,000	\$1,095,000
UNDP	GEFTF	\$3,987,500	\$151,525	\$227,288	\$378,813	\$4,366,313
Total:		\$4,987,500	\$189,525	\$284,288	\$473,813	\$5,461,313

Ms. Adriana Dinu

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April 01, 2014

Indicative Breakdown of Amounts by Agency:	PPG Grant	Agency Fee	Total
UNDP	140,000	13,300	153,300
UNEP	-	-	-
Total	140,000	13,300	153,300

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 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

Consultants Financed by the Project Preparation Grant (PPG)

Summary of Consultants Financed by Initiation Plan	
Position	Tasks
Consultant	Prepare terms of reference for PPG consultancies
Consultant – Knowledge Management	Develop an IW portfolio knowledge management strategy; consult with stakeholders; scope and define methodology that determines roles and responsibilities of key portfolio players, who are the main players, how information should flow between organizations what are the portfolio KM gaps, what are the key websites (sources of information), what key content is missing from iwlearn.
Consultant – Portfolio Analysis	<ul style="list-style-type: none"> -Develop a portfolio mapping including, timelines for projects from 2014-2018 (where they be in their cycles, and what are their project components/learning needs (at what points)), assess who are the partner organizations of the project portfolio (global, regional, national levels), -Determine key global events & processes from 2014-2018, what are key events and who drives them -Scope learning exchanges and twinnings and synthesis documents based on portfolio needs -Determine priorities for learning in thematic courses -Determine priorities for e-newsletters, blogs, webinars, videos -Determine priorities for ICT trainings -Assess which twinnings should be made with projects (or groupings of projects) -Determine key learning needs at regional workshops, who should provide the learning, who should attend the workshops (who is targeted by the learning?) -Determine linkages, sequencing of events and linkages to various GEF IW portfolio learning projects
Spatial-Data & Visualization Consultant	Scope a portfolio visualization mobile application and simple reporting system; Identify spatially-based reporting mechanisms; Identify co-financing opportunities & produce terms of reference
Website Consultant	Determine how to incorporate partner platforms and what are priorities for information and which platforms to link
Event Coordinator	Participate in planning meeting(s), assess the design of the international waters conference, liaise with related IW learning initiatives and key stakeholders, and make appropriate arrangements for the 8 th Biennial GEF IW Conference in 2015, including a scoping mission to make critical logistical arrangements
Communications Specialist	Prepare terms of reference and design the composition of kit in conjunction with the GEF and IW Task Force
Learning Specialist	Identify global conferences and events for GEF IW participation, make linkages to key organizers/drivers of those processes and associated events
Academic Consultant	<ul style="list-style-type: none"> -Identify journals to house the IW publication activity; prepare terms of reference and identify co-finance possibilities -Identify suitable technology for online thematic courses
Freshwater Consultant	Provide expert advice in the preparation of project activities in Component 3 of project -freshwater community of practice –map out strengths of partners, deliver a set of activities that promote conjunctive management
Private Sector Engagement Specialist	Prepare a long-term vision and set of activities for the private sector engagement

Economic Valuation Specialist	Preparation of activity to systematically integrate economic valuation of natural resources into the TDA/SAP process
TDA/SAP Development Specialist	Preparation of program to guide SAP implementation at the community level and activity to expand TDA/SAP methodology through analytic study of good practices with SAP Implementation
Project Development Specialist	Support the development of project documentation for both implementing agencies
Project Management Specialist	Support project preparation –mapping of partner contributions, tor's for PCU staff, tor's for partners/activities