



INITIATION PLAN FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Building Partnerships to Assist Developing Countries Minimize the Impacts from Aquatic Biofouling (GloFouling Partnerships)

Global/Regional/Country: Global

Expected UNDP Strategic Plan Outcome(s)/Indicator(s):

Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance

Output 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

Output Indicator 2.5.3: Number of countries implementing national and sub-national plans to protect and restore the health, productivity and resilience of oceans and marine ecosystems.

Initiation Plan Start Date: 1 July 2017

Initiation Plan End Date: 30 June 2018

ATLAS Project Award: 00103947
ATLAS Project ID: 00105736
PIMS Project ID: 5775
Management Arrangement: IMO agency execution

Total budget:	US\$ 300,000
Allocated resources:	
• GEF	US\$ 300,000
• LDCF	US\$
• SCCF	US\$
• NPIF	US\$
• Government	US\$
• UNDP	US\$

AGREED BY UNDP

Adriana Dinu
UNDP-GEF Executive Coordinator

Signature

Date:

2017

21st June

AGREED BY IMO:

Stefan Micallef
Director, Marine Environment
Division

22 June 2017

A. Brief Description of Initiation Plan:

During the initiation plan period, a number of assessments 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.

For the development of Project component 1, a detailed assessment of the existing capacity and needs related to legal, policy and institutional reforms (LPIR) to support the implementation of the requirements of the 2011 IMO Biofouling Guidelines within the Lead Pilot Countries (LPC), who have expressed a strong interest in participating in the project, will be undertaken through field missions and national level stakeholder consultation meetings. In addition, significant negotiation and consultation will take place with the global strategic partners of the project that already have the expertise in developing model tools and legislations that would assist the LPCs in their LPIR effort. Project component 2 addresses the capacity building, awareness-raising and knowledge creation and dissemination and will follow the proven intervention model and strategies adopted by the GEF-UNDP-IMO GloBallast Partnership and GloMEEP projects. Project component 3 addresses close engagement with the private sector to catalyse maritime sector biofouling innovation and R&D and will necessitate specific interaction with industry stakeholder groups, especially for the development of a formal partnerships by expanding the scope and mandate of the existing Global Industry Alliance (GIA) created under existing GEF-IMO-UNDP projects. This will involve discussions and negotiations not only with the shipping industry sector but also with the non-shipping sector connected to maritime aspects through discussions and consultations with organizations such as World Ocean Council (WOC). Project component 4 will address and determine the best strategies for knowledge management on issues related with biofouling management and control measures.

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:

All the activities described in the following components will be undertaken by a team consisting of a technical adviser and assistant technical advisers (hired using PPG) and the PPG/IP project coordinator of IMO (in-kind) with the assistance and back-stopping from the IMO in-house subject matter experts (in-kind).

A. Component A: Technical review

I. Baseline studies:

Global scientific community has undertaken scientific baseline studies related to ships' biofouling and opportunities for the reducing the impact of invasive aquatic species (IAS) through technical and operational measures. These studies formed the foundation for the 2011 IMO Biofouling Guidelines, which represent

a decisive step towards reducing the transfer of IAS through ships' hull fouling. The IMO Member States have also undertaken a preliminary global assessment of awareness on biofouling and the barriers for the implementation of the biofouling management guidelines that have taken into consideration the specific needs of developing countries especially LDCs and SIDS. Building upon this scientific basis and preliminary global baseline, the project preparation activities will focus more specifically on some areas of the baseline which can support and drive policy and institutional reforms in the lead pilot countries that are expected to take an accelerated path for an effective implementation of the international guidelines. This assessment will be undertaken through detailed consultations with the relevant government organizations in those countries. In addition, the baseline analysis will take into consideration the contribution of non-shipping sectors to the issue, the current efforts by these sectors and existing barriers in addressing the issue. Efforts will be made to undertake consultation with the non-shipping sectors by engaging the stakeholders of World Ocean Council (WOC) who is identified as a Responsible Party for the implementation of project activities related to the non-shipping sectors.

Considering that biofouling reduction will also contribute to the reduction of CO2 emissions from maritime transport sector, a detailed assessment of realistic global environmental benefits in terms of reduction of GHG emissions from shipping through implementation of the biofouling guidelines by developing countries participating in the project will be conducted.

Considering the complex, multi-sectoral nature of biofouling sources and the growing range of anthropogenic structures that can serve as a pathways for IAS, this component of the initiation plan, will also undertake an assessment to further identify sister initiatives especially those supporting the CBD Convention and its related Aichi targets and programmes and projects together with the different stakeholders involved. This information is considered critical for the identification of specific project activities and of the required associated stakeholder and strategic partnerships that are to be outlined in the project document.

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: A stakeholder and gender analysis and a socio-environmental assessment will be undertaken during the PPG phase, although it is anticipated that any impacts will only be positive considering the nature of the project and the issues it addresses.
- III. Identification of specific sites for intervention: With the information generated from existing baseline analyses and additional work done in A.1 and on on-going or planned sister initiatives/programmes and projects, meetings of the Project Document Development Team of IMO and consultations with stakeholders

(including national focal points/representatives), specific activities to be implemented under the four different project components of the Full Sized Project will be defined (reference is made here to those Components, pre-identified under the PIF). This will include the identification and confirmation of Lead Pilot Countries, identification of focal points and key activities that would be needed for LPIR. Identification of Lead Pilot Countries will be done in such a way as to ensure that the Project will cover, as feasible, the broader geographic and thematic range of the project and be supported by the existing baseline in the country, and will combine government-steered approaches to industry-steered actions. It is projected that a substantial partnership initiative will be established in this context with the GEF sister initiatives identified in A-1. Through the discussions with project partners and countries, which will take place during stakeholder consultations, scale of national interventions, as well as regional representation will be identified. This work will also identify the specific demonstration project(s) and the sites for demonstration of hull fouling management solutions. During this phase an open a dialogue with GEF-STAP experts regarding the technical and/or scientific issues raised during STAP review will be undertaken and an expert review point of the document will be set at an early stage during project development.

- IV. Integration with development plans, policies, budgets and complementary projects: Integration and coordination with national strategies and policies will be integral to the Full Project through the translation of the international guidelines into national guidelines that will support the National Action Plans (NAPs) for the implementation of a National Biofouling Mitigation Strategy. The project preparation process will identify the status and requirements of each country in the context of developing and implementing a national strategy, specifically in relation to the national policies related to biofouling prevention. Project preparation activities will also review the policy priorities within each country related to implementation of the 2011 IMO Biofouling Guidelines and identify co-financing support from each country for such activities. Finally, project preparation will ensure complementary engagement and long-term coordination/integration (as appropriate) between the various initiatives (past, present and intended) that relate to invasive aquatic species in general.
- V. Completion of GEF focal area tracking tool: The GEF Tracking Tool spreadsheet will be completed during the Project Preparation process and included as part of the Project Document Annexes.
- 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. Project preparation activities will have a strong focus on the mobilisation and engagement of national, regional and global level

stakeholders into the project design and subsequent project activities. The initial assessments in A-1 will identify the regional and global partners and the functions and responsibilities of these partners will be confirmed and defined through the project preparation activities. An important executing partner for certain components of the Project will be WOC who will act as one of the Responsible Parties for the Project. During the PPG phase, working arrangements with WOC will be discussed and negotiated for implementation of those activities related to the non-shipping sector. Discussions will also be held to identify how the WOC platforms such as Sustainable Ocean Summit (SOS), Ocean Investment Platform and Regional Business Leaders Forum can be effectively used to engage the non-shipping private sector on a long-term basis and for scaling-up efforts. PPG experts will attend the WOC meetings with a view to organize specific side-meetings to get inputs to the project design and project components. WOC will also be invited to any prodoc validation meetings. It is expected that the national level stakeholder meetings will be conducted in each of the 8-12 Lead Pilot Countries during the preparatory phase which the international consultants and/or IMO PPG/IP coordinator will participate in and facilitate. This will ensure the ownership of the project by the countries and country buy-in. Furthermore, project preparation activities will focus on cooperating and collaborating with on-going GEF national and regional projects in related areas.

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 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 a resource mobilization strategy and long-term private sector partnership strategy to support the continuation of key activities/achievements.

- IV. Definition of management arrangements: An organisational structure governing the Full Project will be negotiated and agreed with the lead pilot countries and other stakeholders during project preparation. This will include identification of a project executive committee, a global project task force that will act as the steering committee and a coordination mechanism within IMO for the project execution.
- V. Stakeholder consultations during Component B: The project preparation activities will have a strong focus on the involvement of all key agencies in the identification of the project activities to ensure a strong national ownership as well as by the other partners and stakeholders who will be involved in the project. This will ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Consultation will take place at global, regional and national levels to secure agreement on the project implementation arrangements, including the roles, responsibilities, and accountabilities of lead and partner agencies.

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. To be itemised and included in the Full Project Document.
- II. Explore multilateral and bilateral co-financing opportunities: Project preparation will require consultations with participating countries and partners to ensure a coherent and sustainable co-financing package for the project. These consultations will consist of meetings with the national level lead agencies to agree on responsibilities and support. Further actions and relevant co-financing opportunities and partner support will be captured through simple bilateral/multilateral consultations.
- III. Ensure completion of required official endorsement letters: Support letters for the project and additional support will be secured from countries who are interested in taking a lead pilot role in the project. Furthermore, co-financing commitment letters from the lead national agency of the LPCs will be obtained during the project preparation stage. Since this is a global project, it is understood that the traditional Letters of Endorsement from GEF Operational Focal Points are not needed, although GEF OFP will be invited to the national consultation meetings and kept informed of the project development during the preparatory phase. Co-financing letters will also be collected from bilateral development partners, multilateral development partners, private sectors, and any other parties who wish to provide cash or in kind contributions to the project.

- IV. Stakeholder consultations during Component C: As with Component B above, the project preparation activities will have a strong focus on engagement with appropriate stakeholders and consultations to secure involvement and support (particularly cash or in-kind commitments) to the Full project activities and to ensuring long-term sustainability.

D. Component D: Validation workshop

An informal correspondence group will be established by the PPG/IP coordinator that will facilitate the review of the project document, discuss and validate the final draft project document. This correspondence group will include the focal points from the national lead agencies, strategic partners, UNDP and IMO.

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

PPG Activity	Timeframe (in months) ¹												Responsibility	Budget US\$
	1	2	3	4	5	6	7	8	9	10	11	12		
Component A													IMO	150,000.00
Component B													IMO	80,000.00
Component C													IMO	50,000.00
Component D													IMO	20,000.00

D. Total Budget and Work Plan:

Award ID:	00103947
Award Title:	Building Partnerships to Assist Developing Countries Minimize the Impacts from Aquatic Biofouling (GloFouling Partnerships)
Business Unit:	UNDP
Project Title:	Building Partnerships to Assist Developing Countries Minimize the Impacts from Aquatic Biofouling (GloFouling Partnerships)
Project ID:	00105736
Implementing Partner (Executing Agency)	International Maritime Organization (IMO)

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 "Building Partnerships to Assist Developing Countries Minimize the Impacts from Aquatic Biofouling (GloFouling Partnerships)"	IMO	62000	GEF TRUSTEE	71200	International Consultants	240,000.00
				71300	Local Consultants	-
				71600	Travel	55,000.00
				72500	Supplies	-
				74500	Miscellaneous Expenses	5,000.00
				75700	Trainings	-
					PROJECT TOTAL	300,000.00

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

Terms of Reference for PPG Technical Adviser (PPG TA)

IMO, using the PPG, will procure the services of a technical expert (equivalent to a UN P3 level) to provide the technical advisory services and to lead the project document preparation. The terms of reference of the technical adviser is given below:

- * Undertake the technical formulation process of the UNDP/GEF Project Document (ProDoc) package, under the general guidance of the Head of the Water & Governance Programme of UNDP, the GEF International Waters Coordinator and IMO PPG Project Manager, and in close collaboration with key national partners and other stakeholders.
- * Take a lead in the definition of the Project Strategy (including proposal sections on project rationale and policy conformity, project goal, objective, outcomes, outputs and activities, project indicators, risks and assumptions, country ownership, sustainability and replicability).
- * Take responsibility in the final draft of the Situation Analysis (including proposal sections on context, threats/root causes/barriers analysis, institutional/sectoral/policy context, stakeholder analysis, baseline and business-as-usual-analysis, gender issue analysis).
- * Serve as team leader for other technical advisers and consultants, and take responsibility for the timely drafting of the ProDoc for submission to the GEF; strictly adhering to the deadlines agreed to; and ensuring quality control. Undertake regular meetings and missions, and coordinate the work and inputs from the project development team;
- * Define the initial commitments required from the Lead Pilot Countries, coordinate the outreach activities to gather pledges from candidate countries and, in collaboration with the representatives from GEF, UNDP and IMO, make the final selection of the Lead Pilot Countries for the Project.
- * Meet with relevant stakeholders, which will include key national implementing partners, the private sector, financial institutions, the donor community, civil society and academia, amongst other.
- * Organize and conduct workshops with all relevant stakeholders, to build partnerships and collaboration and raise awareness for the preparation of the Project.
- * Ensure that the inception workshop results in a clear roadmap on the scope of services and project tasks to be accomplished (including final inputs and modifications to consultancy deliverables prior to, and following submission to GEF) and key national implementing partners.

- * Lead the identification of climate change risks associated with the project implementation arrears.
- * Propose institutional and implementation arrangements consistent with a GEF Full-sized project.
- * Be available for any final modifications prior to and following the submission of the Project Document to GEF

Qualifications and Experience of PPG TA

Professional experience:

A minimum of eight years' experience, preferably on an international level dealing with marine environment. Specific technical knowledge and a minimum of four years' technical cooperation experience in marine biosafety issues and management. Experience with project development, formulation or implementation, particularly in the framework of GEF-UNDP. Experience in working with country representatives and industry stakeholders would be a strong asset.

Education:

University degree in maritime administration, marine environment, engineering or science, project development or related area.

Terms of Reference for PPG Assistant Technical Adviser (PPG ATA)

IMO, using the PPG, will procure the services of an assistant technical expert (equivalent to a UN P1/P2 level) to provide the technical advisory services and to support the technical adviser. The terms of reference of the assistant technical adviser is given below:

- * Assist and work jointly as part of a team to undertake the formulation process of the UNDP/GEF Project Document (ProDoc) package, under the guidance of the Head of the Water & Governance Programme of UNDP, the GEF International Waters Coordinator and IMO, and in close collaboration with key national partners and other stakeholders.
- * Play a supporting role in the development of a work plan, helping to determine the scope and strategy of the Project, as well as planning all project activities ensuring all inputs, outputs and overall deliverables address national priorities. Assist the submission of a final draft
- * Assist the PPG Technical Adviser to ensure timely delivery of results and outputs in all PPG activities.
- * Draft the Strategic Results Framework (formerly Logical Framework Analysis) and work plan for the ProDoc, clarifying the proposed outcomes, outputs and activities, and ensuring that the project approach is the most cost-effective.
- * Prepare the total budget for the Project and First Annual Work plan, linked to the Strategic Results Framework, and prepare an Incremental Cost Analysis (with systems boundary, summary of costs, additional cost matrix).
- * Support and facilitate the process of confirming the proposed co-funding and co-financing plan, and coordinate the Letters of Endorsement and co-financing from the Lead Pilot Countries and other strategic partners.
- * Prepare the GEF International Waters Tracking Tool, for timely delivery with the ProDoc.
- * Assist in the development of the Project KPIs, including drafting the stakeholder and gender analysis, and integrate them into the ProDoc. Draft the Monitoring and Evaluation Plan and its budget for the ProDoc, based on GEF and UNDP project guidelines.

- * Researches, analyzes and presents information gathered from diverse sources for the development and drafting of the ProDoc.
- * Develop the Project's knowledge management system and reporting requirements, to be included in the ProDoc.
- * Help to draft a Communication and Visibility Plan for the ProDoc. Assist in the definition of the Project Organogram and Timetable for the ProDoc.
- * Prepare a detailed PPG budget, detailed terms of reference (TORs) for consultants, and an activity and work plan, in line with IMO's rules and regulations.
- * Monitor the effective and efficient utilization of PPG resources.
- * Remain available for any final modifications prior to and following the submission of the Project Document to GEF.

Qualifications and Experience of PPG ATA

Professional experience:

A minimum of four years' experience at an international level, preferably in maritime affairs or project implementation. Knowledge in budget formulation and drafting logical frameworks. Knowledge and experience with GEF-UNDP project development, formulation or implementation would be a strong asset.

Education:

University degree in project management, business administration or international relations.