



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

Project Title: Capacity Development for improved management of Multilateral Environmental Agreements for global environmental benefits

Country: Trinidad and Tobago

Initiation Plan Start Date: October 2014

Initiation Plan End Date: June 2015

CPD OUTCOME #3: Increased environmental sustainability to achieve sustainable development through environmental management, compliance with international treaties, adaptation to climate change, and improvement in capacity for policy and strategy development

ATLAS Project Award: 00081776

ATLAS Project ID: 00090946

PIMS Project ID: 5372

Management Arrangement: DIM

Total budget: **US\$ 50,000**

Allocated resources:

- GEF US\$50,000
- LDCF US\$
- SCCF US\$
- NPIF US\$
- Government US\$
- UNDP US\$

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

Date: day/month/year

A. Brief Description of Initiation Plan:

The objective of the PPG is to develop a medium-sized project that aims at strengthening national capacities for implementation of the Rio conventions and other MEAs in Trinidad and Tobago. The project's strategy is to achieve this through 1) training on environmental obligations, rules and regulations, M&E, and national reporting guidelines and requirements to the Conventions for key actors including civil society and key members of national institutions as well as coordinating bodies with responsibilities for environmental matters 2) create, leverage and maintain coordination and alignment among relevant bodies by creating cross institutional alliances, strengthening management capacities for implementing Convention requirements and developing coordination mechanisms to replicate and disseminate necessary information and approaches 3) develop an awareness and communications strategy to raise awareness of MEA obligations and requirements and disseminate project results awareness to effectively coordinate the achievement of global obligations.

UNDP Trinidad and Tobago will lead the project development process and manage the PPG budget. The PPG Atlas budget is presented in the Section D. "Total Budget and Work Plan". UNDP Trinidad and Tobago will be responsible for the procurement of PPG team composed of local and international consultants, developing TORs, arranging travels and meetings, maintaining project disbursements.

Quality assurance and technical advice for the project development will be provided by the UNDP/GEF Regional Service Centre in Istanbul.

A group composed of major stakeholders and partners will review and endorse PPG progress and outcomes. Consultations (working meetings) will be carried out among key stakeholders to plan for the project preparation activities. During the PPG implementation, the coordination arrangements will be discussed and elaborated. These consultations will also serve to confirm the amount of co-financing to support the project activities.

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. Baseline studies: Baseline studies will be undertaken to review and assess the individual, institutional, and systemic capacities that will inform the strategic and technical design of the project. These include the following:
 - A) Institutional environmental for managing global environmental obligations in Trinidad and Tobago
 - B) Institutional arrangements for effective monitoring and decision-making on the global environment, including technical capacities of planners and decision-makers
 - Prepare an institutional map of all institutions involved in environmental related activities relevant to obligations under the MEA's that Trinidad and Tobago is party to.
 - Assess existing capacities of staff involved in environmental related activities in Trinidad and Tobago; identify capacity gaps and the strategy to address these gaps;
 - Design a detailed project strategy for strengthening institutional arrangements for a more cost-effective and coordinated multi-agency approach to implementing actions as required under relevant MEAs in Trinidad and Tobago.

C) Strengthened alignment of national environmental funding mechanism with global obligations:

- Review and assess the structure and function of the Green Fund of Trinidad and Tobago relative to requirements under MEAs; Review and assess existing capacities of civil society organisations to implement MEAs nationally through environmental projects
- Design a detailed project strategy for strengthened alignment of national environmental funding mechanism with global obligations:

- 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:
 - Through detailed discussion and dialogue, establish clear linkages between this project and the work programme of the Ministry of Environment and Water Resources (MEWR), the main organization responsible for the implementation of the three Rio conventions at the national level;
 - Determine the linkages between and amongst the project partner agencies, notably between the Ministries of the Environment and Water Resources (MEWR) and Planning and Sustainable Development (MPSD), the Inter-Ministerial Committee of Climate Change (IMCCC), and the Environmental Focal Points Network (EFPN), among others as well as NGOs and CBOs.
- IV. Completion of GEF focal area tracking tool: Capacity Development Scorecard.
- 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 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. The Plan will also include provisions for an independent evaluation and provision to ensure the learning of lessons from implementation at the termination of the project.
- 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 endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
 - IV. Stakeholder consultations during Component C: Explore potential for partnerships with bilateral and multilateral donor agencies and organizations. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. If appropriate, finalize co-financing agreements. Determine linkages with ongoing and planned projects.
- D. Component D: Validation workshop
A validation workshop will gather representatives from all relevant stakeholders to present discuss and validate the final draft project proposal.

The final product of the proposed PPG phase will be a UNDP/GEF compliant medium-sized project document and Request for CEO Endorsement for submission to UNDP and GEF, including the following:

- A detailed work plan with detailed roles and responsibilities for project implementation;
- A targeted, in-depth analysis of the baseline situation and needs;
- An updated report on the partnership and co-financing opportunities for the proposed project;
- Explicit specification of all capacity development activities to be financed under the project and the rationale of their contribution to meeting Rio Convention objectives;
- A detailed breakdown of the project strategy using the Logical Framework Approach (log frame);
- A detailed monitoring and evaluation plan for the project that builds upon the log frame;
- A stakeholder participation plan;
- Completed and signed UNDP Environmental and Social Screening Checklist;
- Signed Standard Letter of Agreement on Direct Project Costs
- Endorsement letters from the government and letters confirming co-financing commitments;
- Medium-Size Project document and Request for CEO Endorsement per GEF and UNDP formatting and submission requirements;
- Terms of Reference for key project staff, project management committee and key consultants.

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

PPG Activity	Timeframe (in months) ¹												Responsibility	Budget
	2014						2015							
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May			
Baseline Studies				X	X	X	X	X					UNDP	US\$ 20,000
Stakeholder consultations				X	X	X	X	X	X				UNDP	5,000
Project Document/CEO Approval request preparation					X	X	X	X	X				UNDP	20,000
Inception & Validation Workshop				X	X			X	X				UNDP	5,000

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:

Award ID:	00081776
Award Title:	Capacity Development for improved management of Multilateral Environmental Agreements for global environmental benefits
Business Unit:	TTO10
Project Title:	Capacity Development for improved management of Multilateral Environmental Agreements for global environmental benefits
Project ID:	00090946
PIMS No.:	5372
Implementing Partner (Executing Agency)	UNDP Trinidad and Tobago

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 2014 (USD)	Amount Year 2015 (USD)	Total budget (USD)	Budget notes:
Project preparation grant to finalize the UNDP-GEF project document for project "Capacity Development for improved management of Multilateral Environmental Agreements for global environmental benefits"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	10,000	5,000	15,000	1
				71300	Local Consultants	14,000	5,000	19,000	2
				71600	Travel	6,500	5,000	11,500	3
				75700	Trainings	0	4,500	4,500	4
					PROJECT TOTAL	30,500	19,500	50,000	

**Summary of
Funds: ²**

Source of funds	Amount Year 1 (US\$)	Amount Year 2 (US\$)	Total (US\$)
GEF	30,500	19,500	50,000
TOTAL	30,500	19,500	50,000

BUDGET NOTES:

1. Fee for one international consultant over a 6 week period (See TOR below)
2. Fee for three local technical consultants (See TOR below)
3. Travel for: (1) Airfare and DSA for the international consultant (Inception and Validation workshops);
(2) Local travel of experts, in particular for regional consultations; and
(3) Participation of representatives, as appropriate, to inception and validation workshops
4. Inception and Validation workshop costs: Venue, facilitation, interpretation, and materials

² Summary table should include all financing of all kinds: GEF financing, co-financing, cash, in-kind, etc. etc.

Annex 1: GEF CEO PIF approval letter



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

June 11, 2014

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

Dear Ms. Dinu:

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

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5847
Agency(ies):	UNDP
Agency ID:	5372 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Medium Size Project
Country(ies):	Trinidad and Tobago
Name of Project:	Capacity Development for Improved Management of Multilateral Environmental Agreements for Global Environmental Benefits
Indicative GEF Project Grant:	\$1,207,800
Indicative Agency Fee:	\$114,741
PPG Grant:	\$50,000
PPG Agency Fee:	\$4,750
Funding Source:	GEF Trust Fund

This PIF and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. Please submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,

for Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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Annex 2: Summary of Consultants Financed by the Initiation Plan

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWS²	Tasks to be Performed
Local	Environmental Lawyer	500	20	<ul style="list-style-type: none"> - Review and assess the policy and legislation frameworks related to environmental agreements; - Review and assess the consultative and decision-making process in Trinidad with respect to implementing environmental legislation and regulation, in particular on the extent to which global environmental obligations are being addressed and the how global environmental issues are taken into account in national planning and decision-making; - Make recommendations for strengthening appropriate legal and regulatory frameworks to catalyze improved adherence to national and global environmental laws, regulation, standards, and other obligations; <p>Make contact and involve key agencies in the development of the project strategy to ensure strong national and local ownership. In close collaboration with key government representatives, identify, review and ensure full agreement on project objectives, outcomes, outputs, and activities, including partnerships for support and government co-financing. Undertake consultations with stakeholders to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies.</p>
Local	Public Administration Specialist	500	20	<ul style="list-style-type: none"> - Prepare an institutional map of all institutions involved in implementing obligations under environmental agreements in Trinidad, including non-state social actors; - Assess existing capacities of staff involved in implementing actions related to obligations under environmental agreements in Trinidad identify capacity gaps and the strategy to address these gaps; - Prepare the Capacity Development Scorecard; - Design a detailed project strategy for strengthening national capacities for implementation of the Rio conventions and other MEAs in Trinidad and Tobago - Through detailed discussion and dialogue, establish clear linkages between this project and the work programme of the Ministry of Environment and Water Resources (MEWR)

				<p>which is the main Ministry responsible for the implementation of the three Rio conventions at the national level;</p> <ul style="list-style-type: none"> - Determine the linkages between and amongst the Ministries of the Environment and Water Resources (MEWR) and Planning and Sustainable Development (MPSD), the Inter-Ministerial Committee of Climate Change (IMCCC), and the Environmental Focal Points Network (EFPN), among others as well as NGOs and CBOs.
International	Capacity Development for Environmental Monitoring Expert	2500	6	<ul style="list-style-type: none"> - Work with local consultants (LCs), UNDP and national counterparts on setting PPG implementation strategy; - Finalize PPG work plan, TOR for LCs, and design consultation and validation workshops. - Support LCs as they undertake background studies, providing guidance and support; - Oversee completion of background studies, ensuring they are appropriate in scope and provide required analysis; - Participate in meetings during mission travel with national decision-makers to identify priorities and approaches; - Facilitate and guide consultations to determine project strategy, priorities, key partners, and key barriers to success; - Provide technical and professional support to LCs and national stakeholders; - Develop the project strategy; detailed budget, work plan and logical framework, develop a sustainability and replication strategy; - With input from LCs and UNDP CO, develop a detailed M&E work plan and delivery strategy, including clear identification of responsibilities and accountabilities, as well as an appropriate budget allocation (based on best practices and UNDP guidelines); - Develop the project's sustainability plan by integrating the exit strategy into the project design; - Participate and facilitate technical discussions on the project strategy with stakeholders during the validation workshop.