



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

Project Title: Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda

Country: Uganda

Expected CP Outcome(s)/ Indicator(s):

Outcome:

Outcome 3.1: By end 2020, natural resources management and energy access are gender responsive, effective and efficient, reducing emissions, negating the impact of Climate- induced disasters and environmental degradation on livelihoods and production systems, strengthening community resilience.

Indicators:

- 1) 3.1.1: By end 2018, targeted Ministries, Departments and Agencies (MDAs) have adequate technical, functional and financial capacity to integrate and operationalize Natural Resources Management (NRM) and Climate change mitigation policies and strategies, including: (a) execution of priority gender responsive investments that increase energy access and consumption efficiency and promote low- carbon and renewable modern energy services; and (b) scale-up of Climate change mitigation/ adaptation and disaster-risk management strategies
- 2) 3.1.3: Targeted MDAs, CSOs, media and other non-state actors have adequate technical and financial platforms to engage and empower citizens at all levels for sustainable and natural resources; promote access to sustainable energy, biodiversity conservation and Climate change adaptation and mitigation.

Initiation Plan Start Date: 15th February 2016

CPAP Programme Component: Sustainable and Inclusive Economic Development (SIED).

ATLAS Project Award: 00094359

ATLAS Project ID: 00098469

PIMS Project ID: 5643

Duration: 12 months

Management Arrangement: DIM

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

Allocated resources:

- GEF US\$ 50,000
- Government US\$
- UNDP US\$

AGREED BY UNDP RESIDENT REPRESENTATIVE

Ms. Almaz Gebru

Resident Representative (a. i.)

Signature

Date: 10th March 2016

A. Brief Description of Initiation Plan:

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 2) into a fully formulated project document. The final output of the initiation plan will include: a) a [UNDP-GEF project document](#), which would include as Annexes the Social and Environmental Screening Procedure (SESP), Letter of Agreement on Direct Project Costs, if relevant, and the detailed GHG calculations; b) [GEF CEO endorsement document](#); (c) GEF tracking tool - Capacity Development Scorecards and (d) co-financing commitment letters ready for submission to UNDP and GEF.

B. Project preparation activities:

A. Component A: Technical review

I. Baseline studies:

A baseline analysis should be conducted outlining the current situation regarding implementation of the Rio Conventions, the projected situation without the Global Environment Facility (GEF) project and any other associated baseline projects. The baseline projects would include ongoing and planned initiatives by the government and development partners.

The PPG team should review experiences of other countries in East Africa regarding capacity for implementation of Rio Conventions.

The project formulation team should perform a detailed barrier analysis of the main capacity bottlenecks impeding the widespread implementation of Rio Conventions.

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening: [5643 CCCD Uganda SESP RTA Pre-screening 4 Nov 2015.docx](#)
- III. Identification of specific sites for intervention: This being a capacity development focusing on institutional strengthening, the project sites will be located in selected institutions mandated to implement the Rio Conventions.
- IV. Integration with development plans, policies, budgets and complementary projects: The project should be fully integrated and aligned with Vision 2040, the Second National Development Plan, the National Environment Management Policy, the National Climate Change Policy, the National Wildlife Policy, the National Agricultural Policy, the National Forestry Policy and the National Wetlands Policy among other key development plans and policies.
- V. Completion of GEF focal area tracking tool: This being a CCCD project, it will complete Capacity Development Scorecards.
- VI. Completion of Social and Environmental Screening template: The project Social and Environmental Screening Template shall be completed before presenting the project document to the External Project Appraisal Committee for approval.
- VII. 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.
- 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: Wide consultations will be carried out with government, private sector, civil society and development partners during project design so that all key actors are engaged to ensure that they are all well informed about the proposed initiative in order to strengthen national ownership. It is particularly important that the Country Office and PPG team meet with the mandated Government Rio Conventions Focal Points so that they are aware of and are fully on board regarding the proposed project. Negotiations on co-financing with key stakeholders carrying out projects of relevance to proposed projects will be carried out.

The Proposed sources of co-financing as stated in the PIF are:-

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
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GEF Agency	United Nations Development Programme	In-kind	200,000
Recipient Government	National Environment Management Authority	In-kind	250,000
Recipient Government	Ministry of Water and Environment	In-kind	200,000
Recipient Government	Ministry of Agriculture, Animal Industry and Fisheries	In-kind	150,000
Recipient Government	Local Governments in the participating districts	In-kind	150,000
CSO	Civil Society Organizations at local level	In-kind	100,000
(select)		(select)	
(select)		(select)	
Total Co-financing			1,050,000

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

Following the workshop, the International Consultant – with strong support from the national consultant – will move as quickly as possible to finalize the complete package of documentation for clearance internally by UNDP for submission to the GEF Secretariat. Once GEF Secretariat comments have been received, the International Consultant (with support from the National Consultant) will prepare a “UNDP Response to GEF Secretariat Comments’ and then make changes to the text of the UNDP Project Document and request for CEO Endorsement with the ultimate objective of obtaining GEF approval of the project.

The complete documentation package to be submitted by the PPG team should include the following documents:

- Finalized GEF CEO Endorsement document
- Finalized UNDP Project Document with relevant annexes
- Finalized GEF CCCD Capacity Development Score card
- Finalized Social and Environmental Screening Procedures (SESP).
- All co-financing letters.

To finalize the documentation the Consultants led by the International Consultant need to take into account comments and feedback received from the following stakeholders:-

- Key stakeholders in Uganda
- UNDP Uganda
- UNDP-GEF Regional Service Centre and UNDP-GEF HQ (New York)
- GEF Secretariat

Component D should see the complete documentation package being formally approved by the GEF Secretariat

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

PPG Activity	Timeframe (in months)												Responsibility	Budget US\$	
	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan			
Recruitment of Consultant (s)	X	X												UNDP	0
Component A: Technical review		X	X	X	X	X	X							UNDP	26,000
Component B: Institutional arrangements, monitoring and evaluation				X	X	X								UNDP	10,000
Component C: Financial planning and co-financing investments:					X	X	X							UNDP	10,000
Component D: Consultation and Validation workshop								X						UNDP	4,000
Submission to GEF Sec								X	X	X				UNDP	0
PPG Operational and Financial Closure												X	X	UNDP	0

D. Total Budget and Work Plan:

Award ID:	00094359
Award Title:	Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda
Business Unit:	UGA10
Project Title:	Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda
Project ID:	00098469
Implementing Partner (Executing Agency)	UNDP

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 "Strengthening Institutional Capacity for Implementation of Rio Conventions in Uganda"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	24,000	A
				71300	Local Consultants	12,000	B
				71600	Travel	9,000	C
				74500	Miscellaneous Expenses	1,000	D
				75700	Trainings, Workshops, Conferences	4,000	E
PROJECT TOTAL					50,000		

Budget Note	Items	Total estimated person weeks	Budget (\$)	Explanation
A	International GEF Project Design Expert	6	24,000	Please see Annex 2 for key responsibilities
B	National GEF Project Design Consultant	6	12,000	
C	Travel		9,000	This will include travel and per diems for the international consultants as well as field missions for both national and international consultants. Travel cost of invited resource people to various meetings.
D	Miscellaneous Expenses		1,000	Contingency expenses
E	Trainings, Workshops, Conferences		4,000	Consultation and Validation workshops

Annex 1: GEF CEO PIF approval letter



Nauko Ishii
CEO and Chairperson

February 08, 2016

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

Dear Ms. Dinu:

This letter supersedes the PIF and PPG approval letter dated January 20, 2016 for the same project cited below. This letter is showing correct Funding source i.e. GEF Trust Fund.

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:	9335
Agency(ies):	UNDP
Agency ID:	5643 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Medium Size Project
Country(ies):	Uganda
Name of Project:	Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda
Indicative GEF Project Grant:	\$900,000
Indicative Agency Fee:	\$85,500
PPG Grant:	\$50,000
PPG Agency Fee:	\$4,750
Funding Source:	GEF Trust Funds

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,

Nauko Ishii
Chief Executive Officer and Chairperson

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

1818 H Street, NW • Washington, DC 20433 • USA
Tel: +1 (202) 473 3202 - Fax: +1 (202) 522 3240
E-mail: gefeco@thegef.org
www.thegef.org

Annex 2: Summary of Consultants Financed by the Initiation Plan

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
International	GEF Project Design Expert and PPG Team Leader	4,000	6	<p>The principal responsibility of the international consultant is contribute to the development of the MSP project docume fully compliant with the enforced GEF rules and standards lead expert on capacity development and project design, clos collaborating with the national project coordinator and (w will be the team leader) and national consultants institutional, organizational and public awareness capacities a UNDP on setting PPG implementation strategy.</p> <p>Within the framework of this ToR, GEF Project Design Expert expected to perform the following tasks and duties:-</p> <ul style="list-style-type: none"> • Work together with the local consultants (LC), UNDP a national counterparts on setting PPG implementati strategy; • Finalize PPG work plan, TOR for LCs, and des consultation and validation workshops. • Oversee completion of background studies, ensuring th are appropriate in scope and provide required analyses; • Facilitate and guide consultations to determine proj strategy, priorities, key partners, and key barriers success; • Provide technical and professional support to the LC a national stakeholders. • Develop the project strategy; detailed budget, work p and logical framework, develop a replication strategy. • Assume main responsibility for finalizing the proj document, with significant input from all local consultant <p>Another key role of the project development expert should to look for other key partners that the project might partn with and seek co-financing from, working closely with the UN Country Office and UNDP Bratislava Regional Centre.</p> <p>Besides a desk review of the relevant documents the consulta will undertake two missions to the country, in full collaboratio with the UNDP Country Office and team of consultants. The missions will include:</p> <ul style="list-style-type: none"> • Consultations with key partners in National Governme responsible for environmental management as well relevant sectoral ministries; • Facilitation of project validation workshop. <p>The responsibility of the international Capacity Developme and Project Design Specialist is to work on development a preparation of a Medium Size Project document for submissi to GEF Secretariat.</p>

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
				<p>In addition, the incumbent will:</p> <ul style="list-style-type: none"> • Oversee completion of background studies, ensuring they are appropriate in scope and overall quality; • Provide required analyses; • Facilitate and guide consultations to determine project strategy, priorities, key partners, and key barriers to success.
Local	National GEF Project Design Consultant	2000	6	<p>Under the guidance of the PPG Team Leader, the National GEF Project Design Consultant ensure generation of necessary information for project formulation. The expert will coordinate inputs and provide technical support for data/information collection and analysis for developing the project document and CEO endorsement request. The expert is expected to:</p> <ul style="list-style-type: none"> • Collect the necessary data for project formulation especially on the baseline situation • Work in a team spirit under the leadership of the Lead Consultant to complete the deliverables outlined in the Initiation Plan • Assist in preparing the final draft of the project document and Request for CEO Endorsement • Analyze the project baseline in terms of current policies/projects and stakeholders that are relevant to the project • Analyze gender issues and ensure the gender is well mainstreamed into the project document. • Identify specific institutions/ sites for project intervention and collect baseline information about the target communities, including socio-economic data disaggregated by gender • Organize and coordinate consultations with government and non-government agencies, local project stakeholders and potential project partners • Organize and facilitate technical and consultative meetings with local government and community stakeholders to assist in project definition • Propose, based on participatory stakeholder consultation, a capacity development strategy for the project in line with the expected scope of the project • Develop a communications strategy with communities to facilitate their participation • Define project roles and responsibilities and propose suitable project management, implementation and reporting arrangements • Assist in the design of the project's knowledge management and communications strategy • Help build financing partnerships and mobilize co-financing resources. <p>The tasks foreseen will be carried in close collaboration with the lead consultant, UNDP Uganda and the UNDP-GEF Regional</p>

Type of Consultant	Position / Titles	\$/Person Week	Estimated PWs	Tasks to be Performed
				Service Centre and the National Environment Management Authority.