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

Project Title: PCB Management in Ethiopia to meet the 2025 Stockholm Convention deadline – Phase 1.

Country: Ethiopia

UNDAF Outcome 5: By 2020 key Government institutions at federal and regional levels including citie are better able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable resource management.

UNDAF outputs: Output 5.3: Technologies and practices including finance and market mechanisms that promote a climate resilient green economy introduced and scaled up

Initiation Plan Start Date: 7 April 2017

Initiation Plan End Date: 31 March 2018

CPAP 1` Component:	
ATLAS Project ID:	00100381
ATLAS Output ID:	00103366
PIMS Project ID:	5861
Management Arrangement: DIM	

Total budget:	**US$ 100,000**
Allocated resources:	
• GEF	US$ 50,000
• UNDP	US$ 50,000

AGREED BY UNDP RESIDENT REPRESENTATIVE

UNDP

Resident Representative

Government

A. Brief Description of Initiation Plan:

The initiation plan provides framework for the implementation of the GEF Project Preparation Grant for the development of the Full – Size Project - **PCB Management in Ethiopia to meet the 2025 Stockholm Convention deadline – Phase 1.** The GEF project is designed to strengthen the capacity of national stakeholders to manage PCB as well as to achieve PCB elimination, as identified as a priority intervention in the National Implementation Plan for Persistent Organic Pollutants for Ethiopia – first phase

During the initiation plan period, a number of 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 request, a UNDP Environment & social safe guarding and Screening and a GEF Chemicals and Waste Tracking tools, all ready for submission to UNDP and GEF. It will also include a Gender analysis as per requirements for all UNDP GEF projects. UNDP Ethiopia will lead the preparation process and manage the PPG budget. In coordination with the Ministry of Environment, Forest and Climate Change (MEFCC) UNDP will be responsible for the selection and recruitment PPG consultants, Developing TORs, arranging travel and meetings, and project disbursement. For this specific project, it is proposed that, for international expertise, a UN-to-UN agreement is signed with UNITAR which will be responsible Party for the Initiation Plan of this PPG; and a national consultant will be recruited to prepare project document and all documentation packages.

The approach of PPG is a fully participatory one combined with capacity building of stakeholders to ensure optimum project design and to facilitate the endorsement of the medium-sized project of final submission. Aside from generating information and undertaking the necessary participatory process, it will establish the baseline and GEF incremental benefits for the project as well as clarify stakeholders' inputs, roles and responsibilities, and co-financing. Assessments will be conducted to complete baseline information, identify the best institutional arrangements for the implementation of the project, undertake the detailed costing and design for the project, facilitate agreement on impact indicators and engage key stakeholders.

B. Project preparation activities:

Project preparation activities will start in April 2017. The aim will be to complete all work and submit all documents internally by or earlier than 31 October 2017 and to the GEF Secretariat at the latest by the 31 January 2018. The project preparation activities can be divided into four components as follows.

Component A: Technical review

An inception mission will be conducted by UNITAR as responsible Party in coordination with the Ethiopia Country office to scope the activities described in this implementation plan, and agree on an exact timeline.

- Baseline studies: This refers to a desktop review of all relevant documents, actual and previous studies in Chemical waste in general and PCB management and mitigation in particular in Ethiopia. Particular focus will be given to the current regulatory and legal frameworks for chemical waste management in the country.

- Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.

- Identification of specific sites/areas for intervention
- Integration with development plans, policies, budgets and complementary projects:
- Completion of GEF focal area tracking tool (Chemicals and Waste)
- Completion of a Gender analysis.
- 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 inputs to Component B for the formulation of the UNDP-GEF project document.

- 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, as per recommendation of the gender analysis / assessment mentioned above.
- 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.
- 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.
- Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- 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.

Component C: Financial planning and co-financing investments:

- 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.

- 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.

- Ensure completion of required official co-financing 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.

- Stakeholder consultations during Component C: Federal Ministry of Environment, forest and Climate Change, Ethiopian Electric Power (EEP), and Ethiopian Electric Utility (EEU) formerly called the Ethiopian Electric Power and Ethiopian Electric Utility Corporation (EEPCO) and all other stakeholders will provide co-financing.

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, UNITAR and the national consultant will incorporate all the feedbacks as quickly as possible to produce the complete package of documentation for clearance internally by UNDP prior to the submission to the GEF Secretariat. Once the GEF Secretariat comments have been received, the UNDP Montreal Protocol and Chemicals Unit, with the support of UNITAR, the UNDP Country office and 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 GEF request for CEO Endorsement with the ultimate objective of obtaining GEF approval of the project document for the MSP. Further comments may be addressed in eth same manner.

The complete documentation package shall include the following documents

- Finalized UNDP Project Document
- Finalized GEF Requests for CEO Endorsement
- Finalized SESP (Social & Environmental Standards)
- GEF Chemicals and Waste Tracking Tool
- All Co-financing Letters

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

PPG Activity	Timeframe (in months)[1] for 2017										Responsibility	Budget
	A	M	J	J	A	S	O	N	D			US$
Component A:Technical Review • Complete an inception mission by the Responsible Party • Baseline studies that includes desktop review and stakeholders consultation • Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening • Identification of specific sites for intervention • Integration with development plans, policies, budgets and complementary projects • Completion of GEF focal area tracking tool (Chemicals and Waste) • Completion of brief Gender Analysis											UNITAR and national PPG consultant (Studies and documents will be provided by MOFCC)	73,000
Component B: Institutional arrangements, monitoring and evaluation • Finalization of project results framework • Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed • Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements • Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.												

[1] If an FSP project please add additional six months noting18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document

• Stakeholder consultations for the development of the project strategy, project results framework and ensure agreement on the project objectives and outcomes, project implementation arrangements, including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations. • Inclusion of gender-relevant specific indicators												
• Component C Financial planning and co-financing investments: 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. • 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. • 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. • Stakeholder consultations during Component C: Federal Ministry of Environment, Forest and Climate Change, Government of Ethiopia, Ethiopian Electric Power (EEP) and Ethiopian Electric Utility (EEU), formerly the Ethiopian												

Electric Power and Ethiopian Electric Utility Corporation (EEPCo).and all the stakeholders that will provide co-finance contribution												
Component D: Validation workshop: • Present, discuss and validate the final draft project document. • Incorporate all the feedbacks as quickly as possible and produce the complete package of documentation, in coordination with the Government. • Internal clearance by UNDP GEF for submission to the GEF Secretariat. • Project Document and GEF request for CEO Endorsement. • GEF approval of the full project document.												27,000

D. Total Budget and Work Plan:

Project ID:	00100381
Project Title:	PCB Management in Ethiopia
Business Unit:	ETH10
PIMS #:	5861
Output ID:	00103366
Implementing Partner (Executing Agency)	UNDP-Ethiopia

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 "PCB Management in Ethiopia to meet the 2025 Stockholm Convention deadline – Phase 1."	UNITAR	62000	GEF TF	71200	International Consultants	17,900	1
				71600	Travel	11,000	2
				74500	Miscellaneous	1,200	3
	UNDP	62000	GEF TF	71300	Local Consultants	10,500	4
				71600	Travel	1,900	5
				74500	Miscellaneous Expenses	500	6
				75700	Workshop and Trainings	7,000	7
	UNDP	04000	UNDP Ethiopia	71300	Local Consultants	10,000	4
				71600	Travel	15,000	5
				74500	Miscellaneous Expenses	5,000	6
				75700	Workshop and Trainings	20,000	7
					PROJECT TOTAL	100,000	

BUDGET NOTES:

1. TWO INTERNATIONAL EXPERTS FOR THE DEVELOPMENT OF THE MSP PROJECT DOCUMENT DEVELOPMENT: $5,500/MONTH/PER EXPERT FOR 2 MONTHS. ONE INDEPENDENT INTERNATIONAL EXPERT FOR REVIEW OF THE MSP PROJECT DOCUMENT (US$3,000).
2. INTERNATIONAL TRAVEL FOR TWO EXPERTS FOR TWO MISSION TO THE COUNTRY:

   INTERNATIONAL TRAVEL TO ETHIOPIA TWO MISSIONS (CONSULTATION, INFORMATION COLLECTION AND VALIDATION MISSIONS): 2 RETURN TICKETS FROM GENEVA TO ADDIS ABABA ($2000/TICKET); 1 RETURN TICKET FROM AUSTIN TO ADDIS ABABA ($2500/TICKET)

   DSA FOR 1 EXPERT FOR TWO MISSIONS: USD3000; DSA FOR 1 EXPERT FOR ONE MISSION: USD1,500.
3. PRINTING, COMMUNICATION, OFFICE SPACE: US1,200
4. National consultant N-to-UN agreement with UNITAR as responsible Party
5. cost estimated for the period of the PPG.
6. Domestic travel associated with implementation plan (domestic missions to sites, meeting with partners)

7. Miscellaneous expenses in support of the PPG
8. Organisation of the Inception Workshop and Validation workshop (with national stakeholders' participation).

Annex 1: GEF CEO PIF approval letter

GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

February 01, 2017

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 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:	9669
Agency(ies):	UNDP
Agency ID:	5861 (UNDP)
Focal Area:	Chemicals and Waste
Project Type:	Medium-sized Project
Country(ies):	Ethiopia
Name of Project:	PCB Management in Ethiopia to Meet the 2025 Stockholm Convention Deadline - Phase 1
Indicative GEF Project Grant:	$1,990,000
Indicative Agency Fee:	$189,050
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,

Naoko 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: gefceo@thegef.org
www.thegef.org

Annex 2: Summary of Consultants and Responsible Party Financed by the Initiation Plan

Summary Tasks to be Performed
Local Consultant
The local consultant assists UNITAR in process that ranges from document review to project document preparation. This include, arranging meeting with key stakeholders, arrange visits to sites, organize consultative and validation workshop, gather secondary data, resources and assist the representatives of UNITAR in the data gathering, processing and documentation and undertake any assignments as instructed by UNITAR. This will include preparing the gender assessment of the Project Document, based on the new practical guidelines recently developed by UNDP's Montreal Protocol and Chemicals' Unit and UNDP GEF. This will be in consultation with the UNDP Country office.
Responsable Party: UNITAR
UNITAR will be responsible for the preparation of all the required outputs specified in this IP, with eth support of the Local Consultant as mentioned above. They will have to coordinate with the UNDP-Ethiopia Country office, as well as with UNDP Montreal protocol and Chemicals Unit. The UN-to-UN agreement with UNDP Ethiopia will specify all required deliverables and milestones.