



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 09 March 2012

Resubmission date: 02 May 2012

GEF PROJECT ID: 4489

GEF AGENCY PROJECT ID: 658

COUNTRY(IES): Global

PROJECT TITLE: A Transboundary Waters Assessment Programme: Aquifers, Lake/Reservoir Basins, River Basins, Large Marine Ecosystems, And Open Ocean To Catalyze Sound Environmental Management.

GEF AGENCY(IES): UNEP, (select), (select)

GEF FOCAL AREA(S): International Waters

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	05/15/2012
Completion date of PPG	12/31/2012

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

A project preparation phase is required to (1) further consult with stakeholders and establish partnership modalities for a sustainable consortium of partners amongst global and regional institutions and experts as to support and facilitate the systematic global comparative baseline assessment of transboundary water bodies, (2) to determine how to rescope the existing water body based assessment methodologies developed under the MSP in view of the reduced scope of the PIF and determine the assessment operational modalities including interlinkages mechanisms amongst systems for the conduct of water body based baseline assessments during the FSP, (3) to review and assess existing data and information systems on a system basis and develop the specifications of a TWAP platform, and (4) review and assess the existing regular assessment mechanisms in order to determine the required modalities to make TWAP a periodic and sustainable assessment process. Given the current limited "baseline" information and understanding of the exact assessment modalities which would restrain the design of a most effective intervention, the proposed PPG activities will thus help elaborate the PIF into a Project Document. The following specific activities will be undertaken during the preparatory phase.

1) Partnership modalities.

Given that the TWAP project will be built on existing information hence its success relies on the quality and timely contribution from a large array of partners as described in the PIF, it will be critical to consult adequately with partners and agree on the partnership and data transfer modalities. A protocol to codify partners contributions and related co-financing will also be prepared.

2) Needs assessment for the refinement of the current existing systemic and indicator based assessment methodologies as input to the FSP.

Given the change of scope, scale and duration at PIF entry and as highlighted by STAP given the current significant gap which exists between resources available and the needs identified, all 5 currently existing water body based assessment methodologies designed in the MSP will need to be adjusted and

connectivity between the water systems, with e.g. the deltas and lakes strongly anchored within the river system methodology will need to be strengthened. Downsizing of the scope of the LME and Open Ocean methodologies will also be required as well as stronger linkages to the upstream systems (Rivers - Aquifers) methodologies. The scale of the assessments has changed as well from the original design which was contemplating two levels of assessment and this will need to be rectified. Consideration of the the STAP recommendation to eliminate the LMEs and the Open Oceans as the resources allocated to these systems are minimal and will likely not enable adequate work is equally important. Indeed as stated by STAP, the limited funds allocated to the baseline assessments of LMEs and Open Oceans might be more beneficial if transferred to improve the other resource system assessments.

3) Data and information management system

A TWAP common data and information management portal /clearing house mechanism building on existing platforms and systems such as e.g. GOOS, GEOSS, etc will be established during the FSP to organize and present in a consistent manner, data and indicators used in the assessment for use by the TWAP stakeholders. The PPG will assess the common and cross-cutting data sets, authoritative data sources, and key indicators and will design the architecture/site map of such a meta system to support the implementation of such data and information management system during the FSP. The TWAP portal should present suites of indicators for environmental state and trends, as well as anthropogenic and natural driving forces of changes in these systems to highlight the initial baseline conditions and allow quantitative evaluation of the changing states of ecosystems and associated pressures. The data management component will make use of relevant regional and global databases and indicators to the extent possible, and of available systems and tools connecting other GEF projects and knowledge management system, such as IW:LEARN.

4) A periodic assessment process

The PPG will explore the sustainability of the TWAP assessment process including buy-in by the GEF constituency and from countries which will benefit from the assessment process and its successive iterations, and building on existing regular assessment mechanisms. It will design the framework and modalities to make TWAP a periodic and sustainable assessment process.

5) Institutional arrangement for the FSP - Monitoring and Evaluation process.

The PPG will explore further and codify the overall FSP execution modality. It will prepare a detailed project organigram and decision flow chart outlining the role and responsibilities of the different project partners and execution arrangement mechanisms including related Terms of Reference. It will look at monitoring and evaluation arrangements for the project, including a detailed project management and result framework with SMART indicators and detailed financial breakdown of GEF and non GEF resources.

Key project partners including the implementing agency, executing agencies, GEF Secretariat and co-financiers will meet at least twice over the PPG period to technically guide the project, approving its workplan and approve the full project documentation.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1) Partnership modus operandi	Consultation reports A protocol to codify partners contributions, data transfer modalities and	GEF TF	25000	25000	50000

	<p>partners co-financing.</p> <p>Established partnership.</p> <p>Partners co-financing endorsement letters.</p>				
2) Needs assessment for the refinement of the 5 MSP assessment methodologies	<p>Agreed terms for the refinement of the five assessment methodologies to be undertaken in Y1 of the FSP.</p> <p>Agreed protocol to handle cross cutting and interlinkages matters.</p>	GEF TF	10000	15000	25000
3) Data and information management system	Agreed costed framework for the establishment of a portal/clearing house mechanism	GEF TF	10000	15000	25000
4) A periodic assessment process	Agreed costed framework for sustaining the TWAP assesement through future iterations.	GEF TF	10000	20000	30000
5) FSP Execution arrangement and monitoring and evaluation framework.	<p>Agreed project execution arrangement.</p> <p>Project organigram, dicision flow chart and TORs for the various executing entity and the PCU.</p> <p>Costed Project management framework with SMART indicators</p>	GEF TF	75000	100000	175000
6) PPG coordination consultation	Validation workshop with IA, EAs, and GEF Sec.	GEF TF	10000	40000	50000

	Agreed project formulation technical guidance.				
	Agreed PPG workplan and TORs for consultants and entities to develop the content of the FSP.				
	Validated FSP content including roles, responsibilities and budget breakdown.				
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
Total Project Preparation Financing			140000	215000	355000

C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
Grant Amount	140,000	14000
Co-financing	215,000	
Total	355000	14000

D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	UNEP	International Waters	Global	140000	14000	154000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0

(select)	(select)	(select)				0
Total PPG Amount			140000	14000	154000	

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *				0
International consultants*	38	120000	165000	285000
Travel				0
Workshops and consultations		20000	50000	70000
				0
				0
Total PPG Budget		140000	215000	355000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller, Director, GEF Coordination Office, UNEP		05/02/2012	Isabelle Van der Beck	+1-202-974-1314	Isabelle.vanderbeck@unep.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be Performed
International	Water Governance Specialists In Support Of Component 1	2500	8	Responsible for liaising with the partners with a view to establish a partnership modus operandi and a protocol to codify partners contributions, data transfer modalities and partners co-financing.
International	Water Specialists In Support Of Component 2	2500	2	Responsible for reviewing and adjusting the 5 existing assessment methodologies in line with the new scope, scale and duration of the FSP, and establish a protocol to handle cross cutting and interlinkages matters.
International	Data And Information Management Specialist	2500	4	Responsible for the formulation of an agreed costed framework for the establishment of a portal/clearing house mechanism
International	Water (Governance And Socio Economic) Specialist In Support Of Component 4	2500	4	Responsible for the formulation of an agreed costed framework for sustaining the TWAP assesment through future iterations.
International	Project Management Specialist	3750	20	Responsible for the preparation of: (1) a project Monitoring and Evaluation Plan ; (2) detailed project logframme building on each sub-component logframes; (3) a M&E framework ; (4) an incremental cost analysis; (5) detailed budgets on an activity-by-activity basis for both the GEF- and non-GEF funding; (6) execution arrangement, including terms of reference for project staff and experts to be contracted under the project and (7) Project Management Framework.
International				
(Select)				
(Select)				

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task

