

**FINANCE ADVISOR / PROJECT INITIATION SPECIALIST
WORK DELIVERABLES
May 1st to October 31st, 2017**

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INTRODUCTION

The Finance Advisor / Project Initiation Specialist (FA/PIS) has been assigned under a Contract supported by Asian Development Bank under TA 7813 Project, managed by PRIMEX. The Consultant reported to CTI-CFF Executive Director and PRIMEX Project Manager for TA 7813 Project regularly and submitted monthly report accordingly. Continuous consultation to CTI-CFF Executive Director was conducted during Consultant's assignments period.

Period of Engagement (2017)

1st Contract: 1 May – 31 July

2nd Contract (extension): 1 August – 31 October

TOR DESCRIPTION

Job Mission Description

As a major step in institutionalizing sustainable financing for the Regional Secretariat and CTI-CFF programs and projects, the FA/PIS shall ensure the successful implementation of the CTI Financial Architecture Study, review the feasibility of project proposals, seek funding from donors and partners, and monitor their implementation.

Scope of Work

The FA/PIS must perform the following tasks to his /her best professional ability and comply with international best-practices:

- i. Assist the CTI-CFF Financial Resources Working Group (FRWG) in preparing the CT6 Sustainable Financing Plan
- ii. Coordinate the activities of FRWG and related SOM activities
- iii. Be the focal person: (i) in operationalizing the key elements of SOM endorsed financial architecture study and related activities, and (ii) in implementing financing mechanisms, including the use of tools such as the CTI chart of accounts, budgeting tools, and CTI cloud
- iv. Evaluate the feasibility of proposed programs and projects to fully implement the Regional Plan of Action (RPOA);
- v. Prepare a standard operating procedure (SOP) for proposal submission and approval;
- vi. Submit the final proposals to CTI-CSO on possible sources of funding such as donor agencies, development agencies, development partners, and/or private foundations for approval;
- vii. Coordinate with donors and funding agencies the specification and implementation of monitoring and evaluation (M&E) framework/design of programs and projects;
- viii. Perform other tasks as may be identified during the course of project identification, packaging, fund negotiation and implementation stages.

The above TOR was revision to previously offered Scope of Work, omitting below work scope which were considered not applicable to be conducted based on limited contractual period (1st Contract for 3 months period):

- i. Coordinate with program/project management units to ensure the successful

- implementation of programs/projects within approved budgets and time line;
- ii. Ensure that regular progress reports are submitted by program/project management units to the Executive Director of the Regional Secretariat;
 - iii. Organize and implement project implementation reviews as necessary

DELIVERABLES

i. Assist the CTI-CFF Financial Resources Working Group (FRWG) in preparing the CT6 Sustainable Financing Plan

During the first induction month, PIS learnt that to successfully deliver tasks mentioned in the TOR, for example: setting up a Project Preparation Facility or developing proposals, the working documents to support the roles are not yet available. In the same assignment time, only one NPOA ready, one more from Indonesia was about to be ready, Malaysia and the Pacifics country still have not cost their NPOAs, thus, the detail activities are not yet ready. Meanwhile, FRWG is not fully active and does not have the monthly call.

Thus, the work of the Consultant in the beginning were to source for possible partners to support CTI-CFF Regional Activities.

FA/PIS also establishing communication to various prospect funding partners / collaborators to seek opportunity to collaborate in CTI-CFF Regional Programs, set up and or advise on initiating CTI-CFF Trust Fund, and supports on capacity building within CTI-CFF Regional Plan of Actions (RPOA) 2010 – 2020. The document called **Grant Opportunities 2017 – 2020, as reported in Attachment 01**, consisted of Partner Organisation Name, Contact Person (email address and phone number – when applicable), Priority Funding Focus, Value of Program, and detail Actions taken. In general, within six months of assignment period, the work of PIS with relates to establishing connections to various Donors, Consortium and Private Corporations so far have researched and contact a total of 20 partnership opportunities. In summary:

- a. 5 Government Development Institution (DANIDA, JICA, KFW, SIDA, EU Grant)
- b. 2 Multilateral Organisations (GEF, GCF)
- c. 3 Consortiums consist of Governments, UN agency, private sectors and NGOs (Global Fishing Watch/GFW, Indonesia Waste Platform, World Oceans Council/WOC)
- d. 6 International Corporations / Businesses / Foundation of businesses entity (Gordon and Betty Moore Foundation, David and Lufid Packard Foundation, Athelia Ecosphere, Give2Asia, Marine Stewardship Council / MSC, Royal Carribean Cruises)

- e. 3 UN Agencies: UNICEF, UNESCO, UNDP
- f. 1 INGOs (The Ocean Foundation)

From the regular communication to the above, Organisations and Entities have similar response and queries such as:

- Very interested and keen to collaborate and work with CTI-CFF in programs, activities or networking
- Organizations have various opening opportunities to collaborate in a more country-based activities
- Consortium and Multilateral Organization are more supporting regional-based programs and activities but would require an accredited / solid partner Organisation to be able to access funding. This means, CTI-CFF Regional Secretariat could not apply to grants independently. CTI-CFF should partner with Organisations under their accredited / approved list. For instance: Green Climate Funds only accept proposals from the Accredited Entities, this includes: ADB, WWF, WMF, etc.
- Upon showing high interest to collaborate with CTI-CFF, Organisations and Entities requested for more detailed information such as: Priority Goals, list of programs currently implemented, list of programs currently in need of funding, size (amount of programs)

As system and database on Actions and Activities within CTI-CFF regions are not yet consolidated, FA/PIS Consultant started to compile and gather information from existing and available resources, interview and request information from Regional Secretariat Technical Department and Technical Working Group (TWG) Manager to identify which Actions under RPOAs are: completed, implemented, ongoing or not started. The information is then analyzed and compiled into a Logical Framework Analysis (LFA) document. LFA is crucial to help program management in clarifying, monitoring and evaluating on:

- a. CTI-CFF Goals and Objectives
- b. CTI-CFF expected Outcomes and Impact
- c. CTI-CFF expected Deliverables at the end of 2020
- d. CTI-CFF future (priority) activities needed to achieve these Deliverables

The DRAFT LFA is in **Attachment 02 of this document.**

This LFA will need further work from each TWG, coordinated by CTI-CFF's TWG

Manager, as this will relate to the plan of establishing Project Preparation Facility (PPF), preferably under FRWG or under The Regional Secretariat. PPF will be able to make use of Final LFA to draft Regional-scope proposals and share to prospect funding Partners. Consultant has also drafted a sample proposal for Climate Change Adaptation (Goal 4) to give overview how LFA can support in proposal development. **Please see Sample of CCA Proposal in Attachment 03.**

ii. Coordinate the activities of FRWG and related SOM activities

At the time of Consultant working period, there were no FRWG meetings or activities, and preparation for SOM meeting has not been started.

iii. Be the focal person: (i) in operationalizing the key elements of SOM endorsed financial architecture study and related activities, and (ii) in implementing financing mechanisms, including the use of tools such as the CTI chart of accounts, budgeting tools, and CTI cloud

As during FA/PIS assignment period of the documents and or system related to this deliverable are not ready nor being actively use; example given: unavailability of consolidated NPOA Costing (only Philippines and Malaysia are available), CTI Cloud is under management transfer process from previous project to CTI-CFF Regional Secretariat which are in need of funding; therefore, the Consultant was not able to perform this task.

iv. Evaluate the feasibility of proposed programs and projects to fully implement the Regional Plan of Action (RPOA)

During FA/PIS assignment period, ADB Consultant working on costing of National Plan of Actions (NPOAs) of Indonesia and Malaysia, Annabelle C. Trinidad (email: **abbietrinidad@gmail.com**) was at the same time assisting the process by working closely with National Coordination Committee (NCCs). The assignment period of the two Consultants are completed within the same period. Thus, FA/PIS was not able to do feasibility study for proposed programs. The Consultant also did not have the resources (funding) to support planning process of the Pacifics countries of Timor Leste, Papua New Guinea and Solomon Islands. FA/PIS has been specifically requested to focus on regional-scope work and projects planning which will include all CT6 Countries areas and thus, the availability of LFA and

sample of proposals would hope to assist and support Regional Secretariat and or Project Preparation Facilities (PPF) to develop regional programs proposals.

v. Prepare a standard operating procedure (SOP) for proposal submission and approval

The FA/PIS Consultant has developed a draft of **Programme Manual (see Attachment 04)** that would later be fine-tuned and finalized when and if the Project Preparation Facility team is in operational. The Manual consists of Six Main Sections:

1. CTI-CFF Project Development Flow
2. Proposal Development
3. Project Implementation
4. Project Monitoring and Evaluation
5. Project Reporting
6. Attachments that will eventually consist of samples of documents related to the Manual, such as: draft proposals, Donor Compliance Document (list), draft budget, draft LFA, Media and Communication Guidelines, sample of report formats, sample of monitoring and evaluation formats, guidelines on photos and videos documentations, etc.

The draft was sent to Governance Working Group & Cross-Cutting Themes Senior Manager and will be consulted with the Chair of Coordination Mechanism Working Group (CMWG) before SOM 2017.

vi. Submit the final proposals to CTI-CSO on possible sources of funding such as donor agencies, development agencies, development partners, and/or private foundations for approval

During the assignment period, FA/PIS have developed a general draft proposal that includes all Targets within CTI-CFF RPOAs. As the general draft proposal considered too broad and not specific, FA/PIS also developed a specific draft proposal (later provided as sample proposal) for Goal 4: Climate Change Adaptation. Within six months period, FA/PIS would only able to conduct research on prospect grants and initiate communications with various Organisations and Funding Agencies to introduce CTI-CFF and RPOAs. All communication are well documented in a Grant Opportunities document, as mentioned in Section I of this Report. **The**

Regional Secretariat team will be able to follow up building communications with these Partners to eventually opens up opportunity on providing well-established proposals, should LFA document and priority activities and costings are ready.

Apart from grant research, FA/PIS has also conducted Face-to-face meetings with prospect Development Partners and Collaborators in Jakarta, back in July 2017. Basically, the F2F meeting resulted on the followings:

1. CTI-CFF is a very strategic and well-thought-of initiation of CT6 Member Countries with specific aim to protect and conserve world's most diverse coral triangle areas
2. As an entity, The Regional Secretariat of CTI-CFF could not work alone in preparing the proposal to be considered by multi donor agencies such as GEF and GCF. CTI-CFF Regional Secretariat should work with accredited Organisations to access the supports, or initiate meetings, dialogues and or network approach with the support of CTI-CFF current Development Partners

The Back to Office report of these meetings is available in Attachment 05 of this document.

- vii. Coordinate with donors and funding agencies the specification and implementation of monitoring and evaluation (M&E) framework/design of programs and projects**

As there were none proposals resulted within the period of this Assignment, related to point VI, this deliverable is not yet conducted.

- viii. Perform other tasks as may be identified during the course of project identification, packaging, fund negotiation and implementation stages.**

Participating in Partners Meeting and Partners' Related Workshops

As part of the assignments to engage with Development Partners and Collaborators of CTI-CFF, the Consultant was assigned by the Regional Secretariat Executive Director to engage in various partners-related meetings and join monthly partners call. This task has been very beneficial to support the work of FA/PIS in networking for prospect funding opportunities and collaboration. Some of the meetings FA/PIS have been participating are:

1. *Partners Meeting in Manila, in June 2017*

From this meeting, Development Partners were able to provide and submit matrix results of programs they have been implementing in CTI-CFF regions. This meeting also opened up possibilities for CTI-CFF to be supported in: CTI-CFF RPOA Goals' Review / Evaluation, upcoming engagement opportunity to IKI Funding where the grand proposal will be lead by GIZ, Coral Triangle Day 2017

2. *Collaboration Meeting between Universities – ITS and UMT – in Surabaya, in August 2017*

The Workshop was a point for CTI-CFF FA/PIS to share information on current funding opportunities for development programs of which CTI-CFF Regional Secretariat able to help connecting program partners to development partners and collaborators. The workshop resulted in a plan to make joint program planning in the focus of marine and conservation that would eventually support CTI-CFF in achieving its RPOA Goals.

3. *Think Tank Workshop in Bali, in August 2017*

The Workshop conducted by WWF and participated by various non-government Organisations working on marine issues were able to provide insights on NGOs programme focus to work with communities and liaise better with National Country representatives. The meetings acknowledged the urgency and importance of NGOs to be connected and collaborated with Government in their working areas, and also acknowledge CTI-CFF as a very important multi government initiative of CT6 Members Countries that should be actively engaged and supported. One of the result of this meeting was that FA/PIS shared draft of LFA to GIZ Officer for their consideration in developing a grant proposal for IKI Funding.

Cost – Benefit Analysis (CBA)

To support Regional Secretariat, FA/PIS assisted Regional Secretariat team to develop and finalize Cost-Benefit Analysis with regards to the task mandated by Chairman Summary at SOM 12 point 14.5 stated:

“ Urged Development Partners to share, communicate, coordinate and follow through with the RS on its financial commitment and support extended to NCCs / CT6 Member Countries for transparency purposes”

The process of developing CBA Report included, as of July 31st, 2017:

- Status of CT6 Countries Financial Contribution to the Regional Secretariat
- Updated reports from CTI-CFF Development Partners and Collaborator on projects that were implemented, are ongoing, and planned within CTI-CFF

regions

- Updated Activities of Regional Secretariat

The final document of CBA has been submitted to Regional Secretariat for final review and follow-up accordingly.

CHALLENGES

At the time of FA/PIS assignment, there has not been any coordination call that was suggested to happen once every month within FRWG. The call would help the Consultant greatly in identifying priority actions and or support FRWG in implementing mandate of SOM related to Sustainable Financing Plan.

Moreover, information on activities and programs implemented in CT6 Member Countries were not centralized. The Regional Secretariat has been doing an immense work to consolidate these information by intensive coordination and frequent communication efforts to all related stakeholders, which in itself very challenging. One of the accomplishments to gathering this information was the submission of Partners Matrix document from CTI-CFF Development Partners that enabled Regional Secretariat to – at the very least – receive information on recently implemented and ongoing programs by Partners in CT6 Member Countries. There is still a challenge to acquire information at the Country level.

RECOMMENDATION

CTI-CFF Regional Secretariat have been actively establish stronger network outreach for supports from International Communities in the past two years, proven by the participation and engagement of CTI-CFF Regional Secretariat team in global meetings and conference.

Funding opportunities are available at the global level due to the followings:

1. Protection of Coral Triangle is a global interest
2. Marine debris is the next problem-to-solve at development sectors
3. Climate Change situation has made protection and conservation of coral triangle areas an urgent priority

Thus, CTI-CFF Initiative is still very relevant in current situation. The role of Development Partners would help CTI-CFF Programme to continuously receive supports from global communities, both for national programs or regional programs, and the global support to CTI-CFF would still be available. This can be achieved by stronger commitment of CT6 Member Countries to move-forward-together within CTI-CFF on coordinating and implementing marine-related work within the region.

The establishment of Project Preparation Facility (PPF) or Business Development Unit (BDU) under the Regional Secretariat is very important and should be the priority to ensure CTI-CFF can seize and follow up opportunities that are available at the Global level. The PPF / BDU should be a team consist of practitioners on networking, program development and resource mobilization experts (private and public sectors). However, the role of PPF and BDU would become very effective and provide significant results if supported by these enabling conditions: (i) Clear communication system within CTI-CFF; (ii) Fully functional Working Groups; (iii) Dedicated person(s) in each CT6 Countries that are able to follow up on CTI-CFF related issues to the decision makers in each CT6 Countries; and (iv) Dedicated person(s) in each Development Partner's Organisations that also does the same. With these enabling conditions in place, opportunities can be follow up in time and accordingly.

ATTACHMENTS TO THIS REPORT

Attachment 01. Grant Opportunities 2017 – 2020

Attachment 02. Draft of Logical Framework Analysis

Attachment 03. Sample of Climate Change Adaptation Proposal

Attachment 04. Draft of Programme Manual

Attachment 05. Back to Office Reports

Attachment 06. Narrative Proposal Format

Attachment 07. Draft of Donor Compliance Document Checklist