

**UNDP Initiation Plan to programme**

**the project preparation grant (PPG) received from the GEF**

**(Effective for all PIFs approved as of GEF 2023 June work programme)**

**Revised July 2023**

1. **Background:**

The purpose of this GEF PPG template is to describe how the project preparation grant from the GEF will be programmed to develop a full project document, including the required supporting documentation, that is fully compliant with UNDP and GEF policies and ready for submission to the GEF for CEO endorsement. **See Section C below on new deadlines for submission for GEF-8.**

When a project preparation grant has been requested from the GEF, these resources are confirmed and can be programmed upon receipt of the GEF CEO letter entitled “PIF Clearance for WP Inclusion and PPG Approval”. In general, for medium-sized projects (MSPs) using the one-step approval process, the costs of project preparation can be reimbursed by completing the relevant section of the one-step MSP CEO approval template. For child projects under a program, a project preparation grant can be requested at the same time as the PFD is submitted to Council or after Council approves the PFD. ‘See [GEF’s Guidelines on the Project and Program Policy Cycle](https://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF_C.59_Inf.03_Guidelines%20on%20the%20Project%20and%20Program%20Cycle%20Policy.pdf) (updated in 2020) for additional details.’

The standard template for the GEF PPG included in this file lists some key activities necessary to complete mandatory sections of the [UNDP-GEF Project Document](/node/1991) and supporting documentation. Supplementary guidance is indicated in the *italicized and blue-highlighted text* that must be completed and/or deleted from this template before submitting the GEF PPG for clearance. Additional eligible project development activities can be added as necessary.

1. **Eligible activities:**

***The GEF project preparation grant is not an advance on the project grant and cannot be used to finance implementation activities.***

Please refer to the GEF’s [Guidelines on the Project and Program Cycle Policy (2020 Update)](https://www.thegef.org/sites/default/files/documents/GEF_Guidelines_Project_Program_Cycle_Policy_20200731.pdf) for a list of eligible project preparation activities, and take note of the following ineligible expenditures:

* *Costs associated with the work of government staff or regular project/program activities of a GEF Agency or an Implementing Partner Non-project preparation costs, including: project start-up costs (i.e., costs covered by Agency Fee such as pipeline management, operationalization of the project, internal appraisal, or covered by the project budget); demonstration and pilot projects; implementation of large-scale enabling activities, including detailed country-wide inventories and country studies, training activities other than where they are directly related to project and/or country preparation and major research.*
* *Capital goods (e.g., computers and engineering equipment) other than those directly required for project preparation.*
* *Purchase of motorized vehicles (such purchase, if required, should instead be covered by co-financing amounts, not PPG*)
1. **GEF Cancellation Deadlines for projects approved as of 01 March 2019:** The UNDP-GEF project document, GEF CEO Endorsement request, and supporting documentation must be finalized in English and be submitted per the following deadlines, or the GEF will automatically cancel the project. See [GEF Cancellation Policy](https://www.thegef.org/sites/default/files/documents/Project_Cancellation_Policy_20181220.pdf) for additional details:

**FSP projects:**

1. The deadline for submission to the BBPS team for technical and financial clearance is within **10 months** of PIF approval by the GEF Council.
2. The deadline for submission of the full package, including all required documentation, to the GEF is within 12 months of PIF approval by the GEF Council. If this deadline is not met, the GEF Secretariat automatically cancels the project.
3. GEF CEO must endorse the project within **18 months** of PIF approval by the GEF Council. If this deadline is not met, the project is automatically canceled by the GEF Secretariat.

**MSP projects:**

1. The deadline for submission to the BPPS team for technical and financial clearance is within **6 months** of PIF approval by the GEF CEO.
2. The deadline for submission of the complete package, including all required documentation, to GEF, is within **8 months** of PIF approval by the GEF CEO. If this deadline is not met, the project is automatically canceled by the GEF Secretariat.
3. GEF CEO must endorse the project within **12 months** of PIF approval by GEF CEO. If this deadline is not met, the project is automatically canceled by the GEF Secretariat. The submission package submitted to the GEF within 8 months of PIF approval must be fully complete, with all Council, STAP, and GEF SEC comments addressed.

**Child projects under a PFD or Integrated Program:**

1. The deadline for submission to the BPPS team for technical and financial clearance is **8 months** before the Program Commitment deadline included in the PFD.
2. The deadline for submission to the GEF is **6 months** before the Program Commitment deadline. If this deadline is not met, the project is automatically canceled by the GEF Secretariat.
3. The deadline for CEO endorsement is the Program Commitment deadline. If this deadline is not met, the project is automatically canceled by the GEF Secretariat.

The Project Document must be finalized in English.

1. **UNDP Procedures for GEF PPG:**

Implementation modality: Preferred Direct Implementation Modality (DIM). Other modalities are possible if requested by the government.

Government agreement: There must be evidence that the Government agrees to the Initiation Plan/GEF PPG through meeting minutes, letters, e-mails, or signing the Initiation Plan document.

GEF PPG signatures:

* Direct Implementation Modality (DIM) managed by Country Office: signed by Resident Representative.
* Direct Implementation Modality (DIM) managed by BPPS: signed by BPPS/VF Executive Coordinator.
* Agency Implementation Modality if government requests, managed by UN Agency (e.g., UNOPS): signed by Resident Representative and UN Agency (i.e., UNOPS)

Quantum requirements: A separate Project and Award should be created in Quantum. PPG project will use UNDP standard template in Quantum.

Gender marker: As all GEF PPGs must prepare a gender analysis and action plan, the gender marker rating should be GEN 2 or GEN 3 for this GEF PPG.

UNDP Quality Assurance: The UNDP quality assurance report (design, implementation, and closure) is not required for the GEF PPG and should be marked as “exempt” from QA in the Corporate Planning System, and the drop-down “GEF PPG” selected for the reason for exemption.

UNDP SESP: The pre-screening of the project concept should inform this Initiation Plan, and the final Initiation Plan should be fully aligned with that pre-screening. A social and environmental screening procedure (SESP) of the GEF PPG itself is not required. However, all GEF PPGs are required to prepare the SESP as an Annex to the UNDP-GEF Project Document.

GEF PPG closure: Within 18 months of PIF or PFD approval, the GEF PPG must be financially closed in Quantum. Annex C of the GEF CEO Endorsement Template must be completed to report to the GEF on using the PPG resources. If, by exception, the activities and resources have not been fully completed by CEO endorsement, the table in Annex C of the CEO Endorsement Template must be completed within one year of CEO endorsement and be submitted to the GEF with the first Project Implementation Report (PIR). Any unspent PPG resources must be returned to the GEF (handled by the UNDP-BPPS VF unit in New York).

1. **UNDP and GEF policies:**

All the GEF PPG deliverables must fully align with UNDP policies – [see POPP](https://popp.undp.org) – and [GEF policies](https://www.thegef.org/documents/policies-guidelines).

Initiation Plan / GEF PPG

|  |
| --- |
| **Project Title:** **Country:** **Country Programme Outcome:****Gender Marker rating:** *choose either GEN 2 or GEN 3***SES Pre-Screening Categorization:** *either Exempt, Low, Moderate, Substantial, or High* |
| Quantum Project ID: Quantum Award ID: PIMS number: Management Arrangement: *DIM*  | **Total budget:**Allocated resources:* GEF
* Government
* UNDP
 | **US$**US$US$US$ |

Agreed by

|  |  |  |
| --- | --- | --- |
|  |  | *Day/Month/Year* |
| UNDP Resident Representative[[1]](#footnote-2) | Signature | Date  |

Table of Contents

[I. Brief Description of the Initiation Plan/GEF PPG 3](#_Toc8832250)

[II. Stakeholder Engagement, public disclosure, and other requirements 4](#_Toc8832251)

[III. GEF PPG Activities 5](#_Toc8832252)

[Component A: Preparatory Technical Studies & Reviews 5](#_Toc8832253)

[Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes 6](#_Toc8832254)

[Component C: Validation Workshop and Report 8](#_Toc8832255)

[IV. Total Budget and Work Plan for GEF PPG 8](#_Toc8832256)

[V. GEF PPG Activities timeframe and budget 10](#_Toc8832257)

[VI. Mandatory Annexes 11](#_Toc8832258)

[Annex 1: GEF CEO PIF/PPG Approval Letter 11](#_Toc8832259)

[Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG) 12](#_Toc8832260)

# Brief Description of the Initiation Plan/GEF PPG

**Objective & Final Outputs**

The objective of the GEF PPG is to develop the project concept into a full project: *[title]*. As described in the project concept (PIF/child project concept note), this project aims to *[add short project description]*.

The following information is to be consulted as background for the GEF PPG phase:

* PIF cleared for WP inclusion or GEF Council approved PIF (PFD and child project concept note for projects that are part of a program)
* SES pre-screening (of PIF)
* Comments from GEF Secretariat, Council, STAP
* [Annotated UNDP-GEF Project Document Template](https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_UNDP%20annotated%20Project%20Document%20for%20projects%20financed%20by%20GEF%20Trust%20Funds.docx) and associated guidance included therein
* [UNDP policies and procedures](https://popp.undp.org/)
* UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
* GEF polices on: Project Cancellation; Fee Policy for GEF Partner Agencies; Project and Program Cycle; and Minimum Fiduciary Standards for GEF Partner Agency (in particular sections dealing with the required separation of oversight and execution support services). All GEF policies are available [here.](https://www.thegef.org/documents/policies-guidelines)

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc).
2. Mandatory annexes to the ProDoc
3. [GEF CEO Endorsement Request and all mandatory annexes; and](https://www.thegef.org/documents/templates)
4. Validation Workshop report (required for projects with a high SESP categorization, as appropriate for all others).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

**Key Dates for the GEF PPG**

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Date** | **Notes** |
| **Internal submission date** for BPPS review and clearance | *Add date* | FSP: within 10 months of PIF approvalMSP: within 6 months of PIF approvalPFD or IP child projects: within 8 months before the program commitment deadline included in the PFD |
| **First GEF Submission Deadline** for CEO Endorsement | *Add date* | FSP must be within 12 months of PIF approval MSP: must be within 8 months of PIF approvalPFD or IP child projects: must be within 6 months before the program commitment deadline**Failure to submit a ProDoc and CEO ER to the GEF Sec by this date will lead to the automatic cancellation of the project by the GEF Sec.**  |
| **CEO Endorsement Deadline** after which the project will be cancelled if not endorsed | *Add date* | FSP: must be within 18 months of PIF approval MSP: must be within 12 months of PIF approval. PFD or IP child projects: program commitment deadline**If the project has not been CEO endorsed by the deadline, it will be automatically cancelled by the GEF Sec.**  |

**Management Arrangements**

The UNDP [*Country Office or equivalent for global/regional projects*] will lead the project development process and manage the GEF PPG budget in full consultation with the BPPS VF unit and the Regional Technical Adviser. The GEF PPG Quantum budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The *[RR, EFP, or Implementing Partner or Agency]* will chair the Working Group. Working Group members will include: *[complete; should include CO, government partners, and key stakeholders; RTA as appropriate] Delete if circumstances are such that a working group cannot be formed*.

The GEF PPG team will be composed of the consultancies described in the draft Terms of Reference (TORs) in Annex 2.

# Stakeholder Engagement, public disclosure, and other requirements

To ensure strong country ownership and in line with the stakeholder engagement requirements outlined in UNDP’s [Social and Environmental Standards](https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx) (SES), the [SES Guidance Note of Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Stakeholder%20Engagement%20GN_Final_rev_July2022.pdf), the GEF’s [Guidelines on the Implementation of the Policy on Stakeholder Engagement](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf) and the GEF Policy on Gender Equality, the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e., direct project beneficiaries) and those who may be impacted (positively or negatively) by the project. Stakeholder Engagement and analysis must be conducted in an inclusive and gender-responsive manner so that the rights of women and men and the different structural barriers, knowledge, needs, roles, and interests of women and men are recognized and addressed.

Careful and complete documentation of stakeholder engagement is vital. Detailed evidence of all consultations will be prepared and submitted to UNDP. A list of the consulted stakeholders and details of the associated meetings will be included in the Stakeholder Engagement Plan (see section B-a below).

If the fully designed project has an overall Social and Environment Screening Procedure (SESP) categorization of moderate, substantial, or high, then the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high and substantial risk projects and recommended for moderate risk projects.
2. The UNDP-GEF project document, SESP and related draft management plans and frameworks, and other relevant information/documents will be made available to the public on the UNDP Country Office website or [open.undp.org](http://open.undp.org/#2017). These documents should be available 30 days before the LPAC meeting for moderate risk projects, 60 days in advance for substantial risk projects, and 120 days in advance for high-risk projects.

See the [SES Supplemental Guidance on Disclosure](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Supplemental%20Guidance%20on%20Disclosure%20of%20SESPs%2C%20Assessments%2C%20Management%20Plans_rev_5May2022.pdf) for more information.

# GEF PPG Activities

## Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

### Desktop and field-based studies and data collection

This research should produce the background information required to prepare the ProDoc (including its Annexes) and CEO Endorsement Request, including but not limited to the following:

* Development challenge and strategy (including threats, problems, and barrier assessment);
* Review of national policy and legislative frameworks;
* Problem and solution trees, assumptions and risks, developed in consultation with project stakeholders for a robust Theory of Change, Results Framework, and solid M&E plan;
* Review of relevant past and ongoing projects for lessons, including [project evaluations](https://erc.undp.org/); and
* Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members, and STAP.

### Gender Analysis

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify appropriate measures to address these and promote gender equality and women’s empowerment. See the guidance available [here](https://intranet.undp.org/unit/bpps/sdev/gef/SitePages/Gender.aspx).

### Social and Environmental Standards: Screening and Assessments

The social and environmental safeguards pre-screening prepared during the PIF design phase has initially determined the overall risk categorization of this project as *[Low/Moderate/Substantial/High]* and highlighted potential safeguards risks to be further assessed during the PPG phase.

*If the pre-screening identified the need for an ESMF or other framework (mandatory for Substantial and High-risk projects), then use the following text:* An SES Framework –namely, *[give the name of the required frameworks]*–will be prepared to ensure that the necessary assessments are carried out during project implementation. The standard templates are available in the [UNDP SES Toolkit](https://ses-toolkit.info.undp.org/). The Framework(s) and ProDoc must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared, and the plan(s) have been publicly disclosed and approved by the Project Board.

*If the pre-screening did not identify the need for an SES Framework and the categorization was Moderate, then choose option a or option b below:*

*Option a:* The required targeted assessment(s) of the risks related to *[name the relevant SES Principles/Standards]* will be undertaken during the PPG. The assessment will identify ways to avoid negative environmental and social impacts where possible. If risk avoidance is not possible, mitigation and management measures must be identified and documented.

*Option b:* Per the pre-screening, all risks can be managed through the detailed design of the project’s activities. No targeted assessments are needed during the PPG, though the risks identified in the pre-screening will be reconfirmed during the PPG, and the planned management measures will be refined as needed for SES compliance.

*If the pre-screening categorization was Low, use the following text:* No additional assessments are required, though the risks identified in the pre-screening will be reconfirmed during the PPG, and the planned management measures will be refined as needed for SES compliance.

### Identification of project sites

Based on the above reviews and through consultation with stakeholders, the targeted project *[pilot/demonstration]* sites will be identified. *[Elaborate on selection criteria, if available.]* This should include providing geographic coordinates, maps, and shapefiles for inclusion in the ProDoc.

### Financial planning, co-financing, and investment mobilized

Co-financing and investment mobilized – as defined in the GEF Policy and Guidelines on co-financing - will be confirmed, and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF is seeking high co-financing/investment mobilized to GEF grant ratios with a preference for grants, loans, and other public investments over in-kind co-financing. The GEF also expects the Government to significantly support the costs associated with project execution (i.e., PMC).

### Stakeholder analysis

Building on the initial identification of stakeholders in the PIF, an appropriately scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for developing the project’s Stakeholder Engagement Plan and facilitate the prioritization of engagement activities with particular stakeholder groups and individuals. Projects with pre-screening categorizations of Substantial or High will prepare a **comprehensive** stakeholder analysis. See the [UNDP SES Guidance Note on Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Stakeholder%20Engagement%20GN_Final_rev_July2022.pdf).

### Appraise and formulate the most appropriate project implementation and execution modality

### The design of the project will comply with the UNDP’s Program and Operations Policy and Procedures (POPP), Financial Regulations, Programme and Project Management and Quality Standards, and UNDP-GEF guidance (which will be provided by the RTA). A full assessment of the most appropriate project implementation and management arrangements will be conducted in full consultation with the RTA, UNDP Country Office, Resident Representative (or their Deputy), the relevant government coordinating agency, and the GEF OFP.

Project management arrangements must be discussed and agreed upon early in the PPG phase and an assessment and selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.

During the first two months of the PPG phase:

* For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments[[2]](#footnote-3).
* Discuss the level of co-financing the Government and Implementing Partner can commit to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and expects the Government to significantly support the costs associated with project execution (i.e., PMC) for this project.
* Based on these assessments, select and confirm the Implementing Partner for the project in consultation with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project, and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see [UNDP’s Policy on Selecting Implementing Partners](https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Design_Select%20Implementation%20Partner.docx?web=1)).
* If the Implementing Partner does not have full capacity to execute the project, and execution support is likely needed, discuss with the UNDP Resident Representative whether Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for providing execution support via Responsible Parties ([see UNDP Policy on Selecting Responsible Parties](%20/node/1441)). Discuss with the Implementing Partner the role of the responsible parties in project execution and the execution support these parties could provide.
* The [GEF Policies on Minimum Fiduciary Standards](https://www.thegef.org/sites/default/files/documents/gef_minimum_fiduciary_standards_partner_agencies_2019.pdf) require a separation of functions between project implementation (i.e., oversight) and project execution (which generally includes managing and administrating the day-to-day activities of projects in accordance with the legal agreements with the GEF). Oversight activities are the primary responsibility of the GEF Agency (i.e., UNDP). In contrast, the execution activities are the responsibility of the Executing Entity (i.e., the Implementing Partner and/or Responsible Party in UNDP terminology). While UNDP policy offers the possibility for UNDP to provide execution support to NIM or execute the project under a DIM modality in case there is a government request for such support, GEF policy only allows GEF Agencies to step into an execution role in ‘exceptional circumstances', which are assessed on a case-by-case basis. Hence, whenever a project involves GEF funding, the exceptional circumstances where there is a clear and well-founded rationale for UNDP to perform certain execution functions **should always be well documented and transparently disclosed, discussed, and agreed upon with the GEF Secretariat at the project concept (PIF) stage before CEO Endorsement, regardless of whether the execution services are intended to be funded from the GEF grant or non-GEF resources.** See the [UNDP-GEF ProDoc template](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fpopp.undp.org%2FUNDP_POPP_DOCUMENT_LIBRARY%2FPublic%2FPPM_UNDP%2520annotated%2520Project%2520Document%2520for%2520projects%2520financed%2520by%2520GEF%2520Trust%2520Funds.docx&data=05%7C01%7Cjihyea.kim%40undp.org%7Cf1c03d4b69584b35efd408db5df1a532%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C638207064660544099%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=JDKfgjnPlOvt91PlatVgs6zdCAu3I9ZBR%2BpBzTmS5T4%3D&reserved=0) guidance for further information.
* Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services are to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.
* Consult with CO Head of Procurement Unit/Operations Manager and Regional Procurement Advisors on envisaged procurement/contracting project procurement requirements, identified risks, development of optimal procurement strategies, development of project procurement plans and opportunities to incorporate sustainable procurement considerations and indicators to the project.

### Other required studies

*List any additional surveys and studies not captured above, as needed (e.g., socio-economic survey, feasibility studies, vulnerability assessments).*

## Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **Component A**, the UNDP-GEF Project Document will be developed, and the GEF CEO Endorsement Request will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for consolidating and finalizing all required materials.

### Stakeholder Engagement Plan:

At a minimum, the Plan must include the following elements:

* Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups/individuals and stakeholders that will be involved in particular project outputs/activities (the ‘who’);
* Key stakeholder objectives and interests (the ‘why’);
* Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information (the ‘how’);
* Breadth and depth of stakeholder engagement throughout the project cycle and decisions that need to be made through stakeholder engagement (the ‘what’);
* Timeline for engagement activities and how they will be sequenced, including information disclosure (the ‘when’);
* Indicators of stakeholder engagement and monitoring plan on progress and issues that arise;
* Roles and responsibilities for ensuring effective stakeholder engagement through the implementation of the Plan, including the role of stakeholder representatives and whether stakeholder engagement facilitators are required; and
* Resource requirements and associated budget.

For fully designed projects with a SESP categorization of Moderate, Substantial, and High:

* A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP [guidance on GRM](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Supplemental%20Guidance_Grievance%20Redress%20Mechanisms.pdf) and [sample TOR](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Sample%20Terms%20of%20Reference%20-%20Project-level%20Grievance%20Redress%20Mechanism.docx).

For fully designed projects with a SESP rating of Substantial and High:

* A **comprehensive** Stakeholder Engagement Plan is required (based on comprehensive stakeholder analysis).

See the [UNDP SES Toolkit](https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Guidance-and-Templates.aspx), which contains guidance on Stakeholder Engagement, the standard SEP template, and the [GEF guidelines on stakeholder engagement](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf).

### Gender Action Plan and Budget

The gender analysis conducted in **Component A,** along with relevant findings from the stakeholder analysis and background studies, will form the basis of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party, and budget, which are linked to the project’s components/outputs, outcomes, and activities. As part of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

See the guidance available [here](https://intranet.undp.org/unit/bpps/sdev/gef/SitePages/Gender.aspx).

### Social and Environmental Standards: Screening and Management Measures

In line with the assessments conducted during **Component A** (above) and [UNDP’s Social and Environmental Standards (SES) policy and all associated SES Guidance Notes](%20https%3A//popp.undp.org/policy-page/social-and-environmental-standards), the SESP will be updated. All risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc, and in the [Project’s Risk Register](%20https%3A//popp.undp.org/document/project-risk-register-template).

*Framework option (high, substantial, or moderate):* The SES Framework(s) will identify the required management plans that will be prepared during project implementation.

*Moderate option a:* Based on the required targeted assessment(s), the relevant stand-alone management plan(s) will be prepared: [*name the plan(s) here*].

*Moderate option b:* Per the pre-screening, all risks can be managed through the design of the project’s activities, and therefore no separate management plans are needed, though the risks identified in the pre-screening will be reconfirmed during the PPG and the planned management measures will be refined as needed for SES compliance.

*If the pre-screening categorization was Low, then use the following text:* No management plans are required, though the risks identified in the pre-screening will be reconfirmed during the PPG, and the planned management measures will be refined as needed for SES compliance.

See the [SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Assessment%20and%20Management%20GN_rev_July2022.pdf) for further guidance. Please contact UNDP for additional information as needed.

### GEF and LDCF/SCCF Core Indicators

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared.

For GEF Trust Fund projects, the completed [GEF-8 Core Indicators Worksheet](https://www.thegef.org/documents/gef-8-core-indicators-worksheet) - with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc. LDCF/SCCF projects will use the [CCA Results Framework worksheet](https://www.thegef.org/documents/gef-climate-change-adaptation-results-framework-gef-7).

*Include the following sentence for relevant protected areas projects only:* As part of the GEF Core Indicators requirement, the required METTs will be prepared in the GEF-7 Excel [template](https://www.thegef.org/documents/gef-7-biodiversity-protected-area-tracking-tool); the relevant details will be included in the GEF-8 Core Indicators template, and the final Excel METT file will be submitted to UNDP (not be annexed to the ProDoc).

The relevant Core Indicators will be included in the project’s Results Framework at the Objective level, where appropriate. See the [GEF Guidelines on Core Indicators and Sub-indicators.](https://www.thegef.org/documents/results-framework)

### Completion of the required official endorsement letters

These letters include the official letters on the co-financing guarantee(s) from participating government institutions, bilateral development partners, multilateral development partners, NGOs, the private sector, or others who wish to provide cash or in-kind contributions to the project.

A GEF OFP endorsement letter will also be required for any new participating countries to a global or regional program/project not included in the PIF/PFD submission.

Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PFD approval.

### Mandatory Annexes

In addition to the documents listed above, the following Annexes should be prepared by the GEF PPG team:

* [Project map and Geospatial Coordinates of project sites](#_Toc13821498)
* [Multi-Year Work Plan](#_Toc13821499)
* [Monitoring Plan](#_Toc13821500)
* [UNDP Risk Register](#_Toc13821502)
* [Overview of Technical Consultancies](#_Toc13821503)
* [GEF 7 Taxonomy](#_Toc13821506)
* Initial Project Procurement Plan and TORs for key Project staff

Upon a request from the RTA during the PPG implementation, the PPG team may be required to prepare additional annexes.

### Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities, and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Standard text from the governance and management arrangement from the GEF-8 template should never be removed.

## Component C: Validation Workshop and Report

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities and the final draft of the UNDP-GEF project document. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

# Total Budget and Work Plan for GEF PPG

*Please note the following:*

*Per UNDP policy:*

* + *TORs for key consultants and project personnel should follow UNDP procedures outlined in the POPP[[3]](#footnote-4). This includes the guidance in the POPP Procurement Chapter/Individual Contract section (please refer to:* [*Individual Contract Policy*](%20https%3A//popp.undp.org/policy-page/individual-contract)*. No “personnel” or project management costs can be charged to the Initiation Plan using GEF PPG resources; such costs should be borne by the requesting agency or co-financing. In all cases, no project “personnel” will give technical advice; international and national consultants will provide technical advice[[4]](#footnote-5).*
	+ *Miscellaneous items should be considered very carefully and explained.*

*Per GEF Policy, the following expenses are ineligible:*

* *Costs associated with the work of government staff or regular project/program activities of a GEF Agency or a Project Executing Entity (EA).*
* *Non-project preparation costs, including: project start-up costs (i.e., costs covered by Agency Fee such as pipeline management, operationalization of the project, internal appraisal, or covered by the project budget); demonstration and pilot projects; implementation of large-scale enabling activities, including detailed country-wide inventories and country studies, training activities other than where they are directly related to project and/or country preparation and major research.*
* *Capital goods (e.g., computers and engineering equipment) other than those directly required for project preparation.*
* *Purchase of motorized vehicles (such purchase, if required, should instead be covered by co****-****financing amounts, not PPG*)

|  |  |  |  |
| --- | --- | --- | --- |
| **Quantum Project ID:**  |  | **Project Title:** |  |
| **Quantum Award ID:** |  | **Award Title:** |  |
| **Business Unit:** |  |
| **PIMS number:**  |  |
| **Implementing Partner:**  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **GEF Outcome/Quantum Activity** | **Responsible Party** | **Fund ID** | **Donor Name** | **Quantum Budgetary Account Code** | **QUANTUM Budget Description** | **Amount US$** | **Budget Notes** |
| **Project preparation grant to finalize the UNDP-GEF project document for project** *{name of the project}* | **UNDP** | **62000** | **GEF TRUSTEE** | 71200 | International Consultants |  | **1** |
| 71300 | Local Consultants |  | **2** |
| 71600 | Travel |  | **3** |
| 72500 | Supplies |  | **4** |
| 74500 | Miscellaneous Expenses |  | **5** |
| 75700 | Trainings, workshops |  | **6** |
|  |  |  |  |  | **PROJECT TOTAL** |  |  |

|  |  |
| --- | --- |
| **Budget Note No.** | **Budget Note***Budget note should detail the use of the use of the budget. For example, outputs/deliverables of the consultants must be clear. Include cost breakdown and calculation basis (e.g., daily fee and number of days/weeks, unit cost and quantity)* |
| 1 |  |
| 2 |  |
| 3 |  |
| 4 |  |
| 5 |  |
| 6 |  |

# GEF PPG Activities timeframe and budget

*This section is optional*

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PPG Activity** | **Month****1** | **Month****2** | **Month****3** | **Month****4** | **Month****5** | **Month****6** | **Month****7** | **Month****8** | **Month****9** | **Month****10** | **Budget (US$)** |
| **Component A:** Technical studies, etc.  |  |  |  |  |  |  |  |  |  |  |  |
| **Component B:** Formulation of ProDoc, etc. |  |  |  |  |  |  |  |  |  |  |  |
| **Component C:** Validation Workshop |  |  |  |  |  |  |  |  |  |  |  |
| **Delivery of final outputs** |  |  |  |  |  |  |  |  |  |  |  |

# Mandatory Annexes

## Annex 1: GEF CEO PIF/PPG Approval Letter

*Insert the approval letter as an image or link to the file in PIMS.*

## Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)

**If appropriate and helpful, please use this guidance to support the preparation of PPG TORs**. The cost per consultancy week and number of weeks provided below are indicative only and should be revised.

|  |  |
| --- | --- |
|  **Position, Type, and Cost** | **Role, Deliverables and Qualifications** |
| **Consultant 1:** International Project Development Specialist (GEF PPG Team Leader)**Type:** IC**Cost per person week:** **Number of person weeks needed:**  | **Role***[brief description]***Responsibilities and Deliverables**1. Management of the GEF PPG Team
	1. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultant (IC) and National Consultants (NCs);
	2. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and
	3. Verify and ensure that all project components are technically sound and cost effective.
2. Preparatory Technical Studies and Reviews (Component A): With inputs from the national consultants, as detailed in their respective TORs:
	1. Compile baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals, and co-financial links to GEF outcomes; a definition of GEF incremental value per outcome and output; and a presentation of results of the incremental cost-analysis in matrices as appropriate;
	2. Lead and oversee the stakeholder analysis and consultations, with support from national consultants, and ensure that they are complete and comprehensive, including consultations with the private sector and tourism associations and bodies;
	3. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change, and results framework;
	4. Ensure action points, including risk assessments, from the SES pre-screening (prepared at the concept stage) are fully implemented during the PPG, and update that screening in an iterative process throughout the PPG, and as appropriate;
	5. Oversee the identification of the project sites, with documentation of selection criteria and making sure that geo-referenced data and maps are clearly presented both for targeted protected areas and broader landscapes, as applicable;
	6. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes;
	7. Lead and oversee the identification of opportunities for private sector engagement and co-financing;
	8. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process;
	9. Oversee the consultations with partners regarding financial planning; and
	10. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs.
3. Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B): With inputs from the national consultants, as detailed in their respective TORs, and based on international best practice:
	1. Develop, present, and articulate the project’s theory of change;
	2. Develop the Results Framework in line with UNDP-GEF policy;
	3. Develop a detailed Monitoring and Evaluation Plan and Budget;
	4. Oversee and ensure the preparation of a comprehensive Stakeholder Engagement Plan;
	5. Oversee and ensure the preparation of a Gender Action Plan and Budget;
	6. Oversee and ensure the updating of the SESP based on assessments undertaken during Component A, and ensure the development of required environmental and/or social management plan(s) as required;
	7. Oversee the preparation of the required GEF tracking tools (if required) and GEF Core Indicators and ensure these are supported by robust and validated data;
	8. Secure all co-financing letters;
	9. Prepare the indicative procurement plan;
	10. Secure and present agreements on project execution and management arrangements and ensure that the project aligns to UNDP-GEF guidance on UNDP execution support;
	11. Ensure the completion of the required official endorsement letters; and
	12. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the templates.[[5]](#footnote-6)
4. Validation Workshop (Component C):
	1. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans;
	2. Oversee all necessary revisions that arise during the workshop; and
	3. Ensure completion of Validation Workshop Report.
5. Final Deliverables:
	1. Consolidation of all technical and consultation inputs and comments including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance;
	2. Completion of the GEF CEO Endorsement Request;
	3. Finalized SESP (and SES management plans as required);
	4. All documentation from GEF PPG (including technical reports, meeting minutes, etc.); and
	5. Validation Workshop Report.

**Qualifications*** Master’s degree or higher in a relevant field, such as *[add relevant]*
* Minimum *[add relevant]* years of demonstrable experience in the technical area of *[add relevant]*and in preparing high quality project documents, particularly for UNDP and GEF projects;
* Excellent written and oral communication skills in English;
* Demonstrated understanding of the GEF rationale and procedures, and demonstrated experience in formulation of GEF-funded project proposals, using the logical framework and the results-based management approaches;
* Knowledge of and experience in *[add relevant]*
* Experience working in *[add relevant]*on related initiatives highly desired.
 |
| **Consultant:** *National Gender and Safeguard Specialist* **Type:** NC**Cost per person-week:** **Number of person-weeks needed:**  | ***Role*** *an example**The National Gender and Safeguards Specialist will develop mandatory project Annexes related to application of social and environmental safeguards and support adherence of project development to UNDP’s SESP and specific requirements, as appropriate. The consultant will be a gender and social inclusion expert with experience in-depth gender analysis and local community engagement.****Deliverables***1. *Preparatory Technical Studies and Reviews (Component A): Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:*
2. *Review the SES pre-screening of the PIF; complete the UNDP Social and Environmental Screening Procedure (SESP), and support the detailed assessment of all project risks including consultations with local stakeholders;*
3. *Assess presence of Indigenous Peoples/ethnic minorities within project landscapes and their interests. If present, assess potential impacts of the project on rights and interests, lands, territories, resources, and traditional livelihoods and determine when FPIC applies in accordance with national contexts and preferences. Conduct consultations with communities at demonstration landscape to assess level of understanding and capacity to give consent and identify community preferences for FPIC process. Based on these assessments, and if relevant, integrate relevant matters as needed including FPIC into project design and into the comprehensive Stakeholder Engagement Plan;*
4. *Prepare the gender analysis and action plan and work closely with the GEF PPG Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;*
5. *Advise on gender responsive stakeholder analysis and consultations and ensure that they are complete and comprehensive; and*
6. *Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.*
7. *Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B):*
8. *Complete the SESP, based on assessments undertaken during Component A and detailed development of project interventions, and identify management measures to mitigate risks to be incorporated into the ProDoc;*
9. *Prepare the Gender Mainstreaming Plan, with appropriate budget and identification of appropriate project interventions to ensure gender mainstreaming including at project demonstration sites;*
10. *Using the findings from the gender analysis, provide inputs to the project’s results framework and theory of change; ensure gender considerations are integrated into the project’s theory of change;*
11. *Provide inputs for the development of the Stakeholder Engagement Plan to ensure it is Socially Inclusive and Gender Responsive;*
12. *Prepare the Gender Action Plan and Budget;*
13. *Support the agreements on project management arrangements and ensure that gender and safeguards are adequately incorporated into these arrangements.*
14. *Validation Workshop (Component C):*
15. *Contribute to the validation workshop; and*
16. *Support all necessary revisions that arise during the workshop, as appropriate.*
17. *Final Deliverables:*
18. *Finalized Social and Environmental Screening (SESP)*
19. *Gender Analysis and Gender Mainstreaming Plan*
20. *Appropriate inputs to the comprehensive Stakeholder Engagement Plan including on gender-responsive consultation and consultations with local communities and any Indigenous Peoples or Ethnic Minorities present within the demonstration landscape;*
21. *Appropriate inputs to the final UNDP‐GEF project document based on guidance from the PPG Team Leader.*

***Qualifications**** *Master’s degree or higher in a relevant field, such as gender studies, gender and development, women and environment, or women and sustainable development;*
* *Minimum 7 years of demonstrable experience in the technical area of gender mainstreaming, community development, and social and environmental safeguards risk assessment and mitigation;*
* *Experience carrying out participatory gender analysis; experience collecting and formulating gender responsive indicators and sex-disaggregated data and preparing gender responsive project analysis; developing gender action plans;*
* *Prior experience in the safeguards assessments and processes of international organizations and donors, such as World Bank, UNDP, etc;*
* *Demonstrated understanding of the links between sustainable development, social and gender issues;*
* *Demonstrated experience working on policy and programmatic issues with national and local governments and civil society organizations including community organizations;*
* *Demonstrated experience in carrying out consultations with Indigenous Peoples, FPIC, protection of cultural heritage, and/or community engagement is highly desired;*
* *Experience with project development and results-based management methodologies is highly desired;*
* *Excellent analytical, writing, advocacy, presentation, and communications skills are required; and*
* *Excellent written and oral communication skills in English and fluency in [add language if relevant].*
 |

1. Edit as necessary. Include other Agency as necessary. [↑](#footnote-ref-2)
2. Including mandatory procurement assessment and construction assessment when applicable [↑](#footnote-ref-3)
3. See Annex 2 for Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG) [↑](#footnote-ref-4)
4. For project non-staff personnel, the IPSA or NPSA contract modality will have to be leveraged which is an HR process, please see in the POPP [International Personnel Services Agreement](https://popp.undp.org/policy-page/international-personnel-services-agreement) and [National Personnel Services Agreement](https://popp.undp.org/policy-page/national-personnel-services-agreement). [↑](#footnote-ref-5)
5. Please verify with the UNDP-GEF team that the correct templates are being used. [↑](#footnote-ref-6)