 A green and blue sphere with black text

Description automatically generated

**UNDP annotated Project Document**

**for projects financed by the Green Climate Fund (GCF)**

**January 2024**

UNDP personnel implementing projects that receive financing from the Green Climate Fund are required to be familiar with GCF policies approved by the GCF Board. The UNDP GCF project document template is based on the standard UNDP project document and additional GCF-specific requirements have been added to ensure alignment with GCF policies and requirements. This UNDP-GCF project document template must be used for UNDP projects financed by the GCF. The UNDP-GCF project document template is also available in the POPP.

The UNDP-GCF project document template will be used for all GCF funding proposals, including those approved under the Simplified Approval Process modality. All REDD+ Result-based payments should also use this template noting that some sections are not required as indicated throughout the template. Readiness and national adaptation planning projects shall use a separate project document template. Where feasible, avoid duplication between the UNDP-GCF project document and the Funding Proposal.

**Guidance:**

1. **Effectiveness date**: Projects approved by the GCF Board and for which the Funded Activity Agreement has become effective **as of 01 November 2023** must use this template. For any GCF projects approved and with an FAA Effectiveness Date before the date of effectiveness of this prodoc template but for which no ProDoc has been agreed and signed, the updated clauses will need to be incorporated into the ProDoc to the extent still reasonably possible.
2. **Audience:** The primary audience of the UNDP-GCF project document is the Implementing Partner who will execute the project to achieve the expected results and those in UNDP who will oversee the project as per GCF and UNDP’s oversight accountabilities.
3. **Due diligence assessments**: The mandatory UNDP capacity assessments of the Implementing Partner (IP) and other key project partners, using the Partner Capacity Assessment Tool (PCAT) as well as the micro-capacity assessment for Harmonized Approach to Cash Transfers (HACT), should be completed early in the project design phase, as per the UNDP-GCF standard operating procedures (incl. the SOPs for origination). If any actions are pending in relation to PCAT or HACT, they must be completed by the time this project document is finalized. All private sector co-financing partners must be assessed using the [private sector due diligence tool.](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=288&Menu=BusinessUnit&Beta=0#?web=1)

These tools will help identify the capacity of the Implementing Partner. Understanding the capacity of the IP early in the design phase will help to define the necessary governance and management arrangements (e.g. whether responsible parties are required for execution support etc.) and the corresponding budget required to properly execute this project. Further information is available in the [UNDP POPP.](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=452&Menu=BusinessUnit&Beta=0)

1. **Legal Terms and Conditions pertaining to the Funded Activity (as set out in the GCF Term Sheet and Funded Activity Agreement (FAA))**: All legal terms, conditions, and commitments agreed upon between UNDP and the GCF in the executed FAA and which pertain to the implementation of the Funded Activity or which require contractual obligations from the Implementing Partner(s) to UNDP/GCF, shall be reflected and transposed accurately in this Project Document on a full back-to-back basis as representations, warranties and/or covenants (as the case may be), provided by the Implementing Partner.
2. **Construction Works:** As per the [Appraise and Approve policy](https://popp.undp.org/policy-page/appraise-and-approve) in the PPM, when a project supports construction works or other major infrastructure development (collectively ‘Works’), the Resident Representative should ensure that the [UNDP Construction Works Policy](https://popp.undp.org/procurement/construction-works) is complied with in all respects. This policy also stipulates that the Resident Representative can approve a project document if the works are up to a threshold of $200,000 but will require authorization from the Regional Bureau if the works are above that threshold. Building infrastructure carries different risks from other types of projects. It is critical for these risks to be identified and managed in partnership with the Regional Bureau so appropriate oversight can help safeguard potential harm that may come to people or the environment due to potential infrastructure failures or mistakes, as well as harm to the organization. The template COs need to submit to seek such approval is [here](file:////node/2156). In addition, please ensure that any Construction Works comply with the requirements of UNDP Social and Environmental Standards; this could involve the preparation of an Environmental and Social Management Framework (ESMF) during project development (in addition to the SESP), and Environmental and Social Management Plan(s) during implementation.
3. **If more than one GCF Accredited Entity (AE) is involved in implementing a GCF programme, only UNDP activities can be included in this ProDoc template**: While a Funding Proposal under a programmatic approach may involve multiple AEs, the Funded Activity implemented by UNDP shall require a separate FAA and the UNDP-GCF project document shall only include the UNDP portion of the activities under the approved Funding Proposal. This is not a joint AE project document template and the activities to be undertaken by other GCF AEs under an FAA agreed between those AEs and the GCF must be reflected in the respective entity’s project document. UNDP cannot sign or use another GCF AE’s project document template.

While the UNDP Social and Environmental Standards (SES) policy applies to the UNDP components of joint AE projects, safeguards considerations and arrangements for joint projects can be complex. Please consult with the BPPS VF Safeguards Team for support and guidance at an early stage for all such projects.

In addition, when more than one GCF AE is involved in implementing a GCF programme, each AE will be required to ensure compliance with the terms of its own AMA and FAA for the Funded Activities it is accountable for, including insofar as this relates to M&E activities: GCF Annual Performance Report, Independent Interim Report, Final Evaluation Report and Project Completion Report.

1. **Co-financing & Parallel Financing:** Including **co-financing that will not be administered by UNDP** in a project has implications for UNDP’s accountability and must be carefully considered. The GCF Policy on Co-Financing makes a distinction between:
2. Co-Financing: the financial resources required in addition to the GCF Proceeds, to implement the Funded Activity for which the Funding Proposal has been submitted.
3. Parallel Finance: the financial resources that flow alongside GCF Proceeds to a Project, but which are not required for the implementation of the Funded Activity, and which are earmarked for other outcomes and may be consistent with general mitigation and adaptation measures.

The GCF Secretariat interprets this policy to mean that **co-financing must be included in the Funded Activity’s outputs/activities and its project results framework**. Therefore, the legal accountability and oversight responsibility of UNDP as an AE (and associated legal commitments, representations, warranties and covenants in the AMA and FAA) extends to co-financed activities, by definition.

For co-financing that flows through UNDP’s account (i.e. administered by UNDP), all UNDP and GCF policies and procedures apply. This includes the UNDP SES policy, with which any such co-financed activities (i.e. administered by UNDP) must fully comply.

Please follow the guidance below (and the [additional guidance on safeguards and co-financing](https://pims.undp.org/uploaded/1464/1794541/VF%20Cofinancing%20and%20SES%20Guidance%20-%20December%202021.pdf)) and ensure they are applied when developing the Funding Proposal and the UNDP GCF project document, and as early as possible when considering potential co-financing. **The following guidance pertains only to co-financing that does not flow through UNDP’s accounts**; again, for co-financing that flows through UNDP’s account, all UNDP and GCF policies and procedures apply.

1. **Co-Financing Not Administered by UNDP:** For co-financing that would not be administered by UNDP, GCF still requires that this be included in the project results framework. While the co-financing partner’s policies and procedures apply to the co-financed activities, UNDP must ensure consistency with UNDP policy through the controls provided by the legal and implementation arrangements of the Project (spelled out in the UNDP Prodoc). This has complex legal and accountability implications for UNDP as well as for the co-financing partner (e.g. OAI role in compliance audits and investigations, including eligibility of SECU cases). Therefore, **all of the following conditions need to be met before including such co-financing in the project** (if conditions cannot be met then the financing needs to either be considered as parallel financing or not pursued any further):

* The co-financed activities are essential to realizing the project objective.
* Co-financing commitments and legal obligations towards GCF and UNDP will be clarified in the Project Document, including oversight and assurance roles of the Project Board and UNDP.
* The project management capacities and policies of potential co-financing partners (including on social and environmental safeguards) have been assessed through application of the PCAT to inform partner selection. If gaps are identified, the partner will develop a risk management strategy (for UNDP’s approval and subsequent oversight/assurance), or otherwise a decision not to engage.
* The co-financing partner has or will sign a legal agreement with UNDP or the Implementing Partner to confirm accountabilities (i.e. co-financing from the Implementing Partner or a Responsible Party and availability (and/or confirmed to be available) at the time of UNDP’s request to GCF for subsequent disbursements to meet this condition).
* The co-financing letter (signed prior to signature of Prodoc and/or Responsible Party Agreements) will include the following sentence “*The co-financed activities will be undertaken in full compliance with [co-financing partner’s] policies and procedures. However, because the activities are included in the project results, the [co-financing partner] commits to monitor these activities consistent with the UNDP Project Document. The Project Board and UNDP will also assume an oversight and assurance role to further ensure the project, including the co-financed activities covered by this letter, remains consistent with UNDP policies and procedures. These arrangements will be confirmed through [signature of Project Document OR signature of Responsible Party Agreement with reference to the Project Document]*.”
* Risks stemming from and/or to co-financed activities – as with risks from/to all other project results – will be included in the project risk register and monitored accordingly. The risk description will clarify relation to the specific co-financing.
* Social and environmental risks associated with the co-financed activities (“included as project results”) will be identified during project (Funding Proposal) design and included in the SESP and relevant safeguard management frameworks/plans. Relevant safeguards instruments prepared by the co-financing partner will be reviewed by UNDP for consistency with UNDP’s SES, during project development and/or implementation; any gaps will be resolved in discussion with the co-financier prior to the implementation of those instruments. Please refer to the [additional guidance on safeguards and co-financing](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fpims.undp.org%2Fworkspace%2Ffile%2Fdownload%3Fid%3D1451%26index%3D0&data=05%7C01%7Crobin.merlier%40undp.org%7C8118ef01c8104b9a3da908dac657e9cb%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C638040378128326865%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=NiKT9K3xjCadYv3%2F1nRAaPiGzAVVpfibgA2Ji5vCkdM%3D&reserved=0) available on this.
* During implementation UNDP will report on co-financing results, risks, and the amount disbursed and applied towards the implementation of the Funded Activity (i) in each Annual Performance Report (APR), (ii) in the Interim Evaluation, (iii) in the Terminal Evaluation, (iv) in the Project Completion Report, (v) as a condition precedent for all requests for disbursement, within the timeframe to ensure timely requests for disbursements and in form and substance satisfactory to the GCF, and (vi) upon the request of GCF.
* The amount of this co-financing will be included in the total lump sum of co-financing on the cover page of the UNDP-GCF project document and will be broken down in the co-financing table in Section IV of this ProDoc template.

1. **Parallel Finance:** Activities implemented through parallel finance are not to be included in the Funded Activity’s outputs/activities nor in its project results framework (as that would make it “co-financing” under GCF’s policy interpretation). While parallel finance falls outside of the project, there remain risks that need to be considered. Therefore, **all of the following conditions need to be met**:

* Parallel finance is consistent with adaptation and mitigation measures.
* All Parallel finance listed in the FP will be explained in the partnership narrative of the Project Document (see Section IV). This will clarify how the parallel finance is related to the overall results of the project, clarifying that the parallel finance is not part of the project’s results or activities.
* Potential risks associated with parallel finance that may affect the Project, including safeguards related risks that fall within the project context or area of influence, will be considered in safeguards due diligence and the project risk register and monitored accordingly. Risk management measures identified will be only those within the control of the UNDP project (e.g. managing reputational risk).

1. **Do not amend the Legal Context and Risk Management Sections:** Choose the right option for this project, complete as indicated, delete the non-relevant options, do not amend the standard text, and maintain the clause numbers. Any changes/amendments/notes will need to be approved by the UNDP Legal Office before submission to the GCF. This could lead to serious delays and consequently the automatic cancellation of the project by the GCF. The text in these sections are mandatory legal text and these sections are critical to UNDP’s compliance with UNDP policies.
2. **Charging UNDP Support Services Costs to GCF projects:** For any project financed by the GCF, UNDP must observe the following requirements:
3. **UNDP Support Service Costs[[1]](#footnote-2)** which will include the costs of any activities over and above the project cycle management services[[2]](#footnote-3) for which UNDP receives a fee – may only be charged to the project budget upon the specific request of, and agreement with, the Implementing Partner. The costs of any anticipated or known UNDP Support Service Costs need to be clearly documented in the full funding proposal submitted to the GCF for approval. Any UNDP Support Service Costs requested by an Implementing Partner after Funding Activity Agreement signature needs to be submitted to the GCF Secretariat. This is in line with the existing policy on Direct Project Costs.
4. **There should be a firewall between project oversight and execution**. Any staff costs charged as Direct Project Cost under either ‘admin-related support’ or ‘technical support towards project execution’ cannot be for the same staff/individuals who will be providing oversight/quality assurance to that same project.[[3]](#footnote-4)
5. **Letter of Agreement.** For any NIM or NGO implemented project, any Implementing Partner request for services incurring UNDP Support Service Costs will only be accepted if there is a clear objective justification for such execution support services by UNDP, based on capacity assessments of the Implementing Partner and full assessments of available alternatives. Execution Support services agreed by UNDP and by GCF (as part of the Funding Proposal) must be clearly documented and agreed in a Letter of Agreement (LOA) between the Implementing Partner and UNDP, outlining the services to be provided and their itemized costs. This needs to be annexed to the final project document.
6. The following specific guidance applies for the GCF projects in design phase:
   * 1. **For admin related support**: LOA shall include an explicit request for the provision of NIM support, backed up by the micro-capacity assessment for admin related support. Where requests have been made by the Government and documented, all projects should include UNDP Support Service Costs estimates in GCF project budgets prior to first submission and the following guidance should be followed:

* UNDP Support Service Costs will need to be estimated at actual or transaction-based cost (UPL/LPL) and based on the procurement plan, not as flat percentage;
* The UNDP Support Service Cost amounts will be reflected in the Project Management Costs (PMC) part of the budget for the admin related (HR/administrative/finance/procurement) support;
* For budgeting purpose and to be transparent, the Expense Account must be used: “64397-Services to Projects-CO staff” and/or “74596-Service to Projects – GOE”.
* A draft LOA with a breakdown of calculation of the admin related support must be provided to the BPPS team at FAA stage.
  + 1. **For technical support towards project execution**: LOA shall include an explicit request for UNDP staff technical support towards project execution. For technical support requests to UNDP COs, where UNDP technical support staff time is requested by the Government toward technical aspects of the project, the following guidance should be followed:
* Budget/Cost will be estimated based on proforma staff costs (based on percentage of time required of the UNDP staff member);
* Terms of reference and deliverables for the support requested should be attached;
* “UNDP staff costs for technical support” will be reflected in the project budget at the output/activity level;
* The budgetary Account code to be used is “61100-Salary Costs – NP Staff” and “61300-Salary & Post Adj Cost-IP Staff”.
* For charging, it must be based on a signed Letter of Agreement with the Implementing Partner and following UNDP HR policies and process. The position COA may be revised to reflect the percentage to be charged to the project in Quantum.

1. The following specific guidance applies for the GCF projects already approved:
   * 1. **UNDP project documents will include a Total Budget and Work Plan** which should reflect:

* UNDP Support Service Costs (for Administrative Services) transparent (using Expense Accounts “64397-Services to Projects-CO staff” and “74596-Servies to Projects – GOE”)
* UNDP staff costs for technical support at outcome level (where requests have been made) will be reflected under budgetary Accounts “61100-Salary Costs – NP Staff” and “61300-Salaryy & Post Adj Cost-IP Staff”.
  + 1. **The following additional documents are required:**
* Letters of request by the Government (for tech support and/or NIM support);
* Terms of reference and deliverables for the support requested.

1. **Procurement Risks and Opportunities:** Unidentified and/or sub optimally managed procurement risks frequently lead to project implementation challenges and delays and may also affect UNDP’s reputation. As per the [Policy in the Procurement section of the POPP,](https://popp.undp.org/policy-page/transactional-procurement-strategies-and-procurement-planning) Supply Chain Management must be integrated into the overall project cycle.  The development of comprehensive robust requisition, supply chain management and procurement plans, covering the envisaged project requirements is instrumental in helping identify, understand, assess and manage project procurement risks and envisaged project implementation timeframes adequately. An integrated approach, where UNDP CO Operations Manager, Procurement Units and Corporate Procurement Advisors, as outlined in the [GCF RACI for NIM Projects](https://popp.undp.org/document/gcf-raci-nim-projects), are actively engaged throughout the project cycle, normally contributes to enhancing the value of the project procurement plan, final TBWP, and project risk register. As per the GCF RACI for NIM Projects, “Procurement Plan QA and clearance” by the BMS Procurement Advisors is required prior to submission of the funding proposal to GCF Sec. This clearance needs to be uploaded to PIMS+. As per the [Policy in the procurement section of the POPP](https://popp.undp.org/policy-page/transactional-procurement-strategies-and-procurement-planning), the project and procurement personnel will proceed to develop a Procurement Plan in Quantum”.

The mandatory Procurement Assessment in the PCAT is intended to help identify and manage IP/RP risks and capacity gaps. It should be completed with engagement of the Country Office procurement team as soon as possible in the Project Design Phase

The GCF processes disbursement of subsequent tranches of GCF funds when the following disbursement condition in the FAA has been fulfilled:

*“Other than in relation to the first disbursement, submission to the Fund by the Accredited Entity of evidence by the Accredited Entity to the Fund that at least seventy per cent (70%) of the funds previously disbursed have been* ***spent*** *for Eligible Expenditures”.*

The GCF presently considers actual expenses to assess whether the 70% threshold has been reached. It is important to keep this GCF requirement in mind at the time of planning procurement sequences, modalities and timeframes, to ensure that funds are available at the time of encumbering the needed financial commitments required under planned contracts/POs. This may entail consideration to staging POs and linking payment milestones to these, distributing contracts in Lots or portions/segments, etc. as part of the project’s procurement planning.

[SDG Target 12.7](https://www.unep.org/explore-topics/resource-efficiency/what-we-do/sustainable-public-procurement/sdg-127-target-and) aims to “Promoting public procurement practices that are sustainable, in accordance with national policies and priorities”. As per the Policy under the [Sustainable Procurement Chapter in the POPP, **“**UND**P is commit**](https://popp.undp.org/policy-page/sustainable-procurement)**ted to sustainable procurement and will maximize environmental, social (including human rights, disability inclusiveness, gender) and economic considerations in the procurement processes whenever and wherever possible”.** Integrating procurement and supply chain management into the overall project cycle, presents an opportunity to mainstream sustainable procurement considerations, practices, indicators, as well as their expected contribution to impact, into UNDP GCF Programming. When relevant, these considerations can be captured under the Strategy and Results and Partnerships Sections of the UNDP Project Document.

1. **Maps**: Any maps included in this project document must conform to maps accepted by the UN Maps and Geospatial services (see <https://www.un.org/geospatial/mapsgeo> )
2. **‘Annotated’ means:**
3. Guidance is in italic text and highlighted in yellow. **Do not leave any text highlighted in yellow in the final draft submitted to BPPS for internal approval.**
4. Guidance highlighted in pink outlines sections that do not apply for some projects, including DIM-executed projects. **Do not leave any text highlighted in pink in the final draft submitted to BPPS for internal approval.**
5. Standard text that must be included in each project document is noted in plain text and should not be altered (unless indicated).
6. **Follow the guidance on page lengths of each section:** keep it‘short and simple’. The project document **should not exceed 60 pages excluding Annexes**. Avoid the use of lengthy and overly complex narrative and keep the text concise. Additional background information relevant to understanding the background and context of the project design should be annexed to the project document (e.g. technical reports).
7. **Adhere to the formatting guidance:** The Project Document and its Annexes should be formatted using the Calibri font (size 10 for standard text; 14 for headers; 12 for sub-headers; 9 for figure/table legends and footnotes). Avoid use of double spacing. Please ensure consistency in the formatting.
8. **UNDP quality assurance**: Please use this annotated UNDP-GCF project document template as a checklist when reviewing draft project documents, including the list of mandatory Annexes. If the draft project document does not comply with the requirements outlined in this template, then the work of the team is not of acceptable quality and is not complete.

**Further information[[4]](#footnote-5):** The project team should also be familiar with the documents listed below.

1. Strategic documents: [UNDP Strategic Plan 2022-2025;](https://www.undp.org/publications/undp-strategic-plan-2022-2025) [Sustainable Development Goals](https://www.undp.org/sustainable-development-goals); [GCF Updated Strategic Plan 2020-2023](https://www.greenclimate.fund/sites/default/files/document/updated-strategic-plan-green-climate-fund-2020-2023.pdf); [GCF Integrated Results Management Framework](https://www.greenclimate.fund/sites/default/files/document/gcf-b29-12.pdf); [GCF Initial Investment Framework](https://www.greenclimate.fund/sites/default/files/document/initial-investment-framework.pdf); [GCF Initial Investment Framework: activity-specific sub-criteria and indicative assessment factors](https://www.greenclimate.fund/documents/20182/239759/Investment_Framework.pdf/eb3c6adc-0f24-4586-8e0d-70aa6fb8c3c8); [GCF Risk Management Framework](https://www.greenclimate.fund/document/gcf-b17-12);
2. Policy documents: [UNDP Social and Environmental Standards](http://www.undp.org/content/undp/en/home/operations/social-and-environmental-sustainability-in-undp/); [UNDP Social and Environmental Standards Toolkit](https://info.undp.org/sites/bpps/SES_Toolkit/default.aspx); [UNDP Social and Environmental Accountability Mechanism](https://www.undp.org/content/undp/en/home/accountability/social-and-environmental-responsibility.html); [UNDP Information Disclosure Policy](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/); [UNDP Gender Equality Strategy 2022-2025](https://genderequalitystrategy.undp.org/); [UNDP Anti-Fraud Policy](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/AC_Internal%20Control%20Framework_Anti-Fraud%20Policy.docx&action=default); [GCF Environmental and Social Policy](https://www.greenclimate.fund/sites/default/files/document/environment-social-policy.pdf); [GCF Updated Gender policy and Gender Action Plan 2020-2023;](https://www.greenclimate.fund/decision/b24-12) [GCF Indigenous Peoples Policy](https://www.greenclimate.fund/sites/default/files/document/ip-policy.pdf); [GCF Anti-Money Laundering and Countering the Financing of Terrorism Policy](https://www.greenclimate.fund/sites/default/files/document/aml-cft-policy.pdf); [GCF policy on cancellation and restructuring](https://undp.sharepoint.com/:b:/r/sites/undp-gcfproject/SOP%20and%20FAQ/GCF_Cancellation%20and%20restructuring%20policy%20APPROVED.pdf?csf=1&e=q8cU40); [GCF Policy on Co-financing](https://www.greenclimate.fund/sites/default/files/document/policy-cofinancing.pdf); [GCF Revised Policy on the Prevention and Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment](https://www.greenclimate.fund/sites/default/files/document/seah-policy.pdf); and others
3. Operational guidelines: [UNDP Programme and Operations Policies and Procedures (POPP) on project management](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=448&Menu=BusinessUnit&Beta=0); [UNDP Evaluation Resource Centre](http://erc.undp.org/index.html;jsessionid=227AAA3B5ECD15BC3E0759EE6AAA6A01); [GCF Programming Manual](https://www.greenclimate.fund/sites/default/files/document/gcf-programming-manual.pdf); [GCF Branding Guidelines](https://www.greenclimate.fund/documents/20182/193446/GCF_Branding_Guidelines.pdf/dc7d3c81-12e0-b749-ba0d-1395e529af18).



GCFblgrnLogoRGB.eps

***Add Government Logo when appropriate***

**United Nations Development Programme**

**Annotated Project Document template for projects**

**financed by the Green Climate Fund**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project title :** *As in the PIMS+ project title* | | | | | |
| **Country(ies):** | **Implementing Partner (GCF Executing Entity):** *see explanation of who (only one party) can be an Implementing Partner in the* [*Select Implementing Partner*](file:///C:\node\1866) *Policy.* | | | **Execution Modality:**  *choose* ***one*** *of the following IP modalities and delete the others:*   1. *National Implementation (NIM) if the IP is a Government entity. Indicate if there is Country Office Execution Support to NIM -;* 2. *Direct implementation (DIM) if UNDP is the IP;* 3. *United Nations Agency;* 4. *Civil Society (CSO), including Non-governmental Organization (NGO);*   *Non-UN Intergovernmental Organizations (IGO).* | |
| **Contributing Outcome (UNSDCF/CPD, RPD, GPD)***: insert text of the relevant programme outcome.* | | | | | |
| **UNDP Social and Environmental Screening Category:**  *Insert one of the following from the project’s SESP: substantial, moderate, low, or exempt. Some projects are exempt from the SESP, but exemption can only be determined on a case-by-case basis and in accordance with the SES exemption criteria.*  *See further information at* [*http://www.undp.org/content/undp/en/home/operations/social-and-environmental-sustainability-in-undp/SES.html*](http://www.undp.org/content/undp/en/home/operations/social-and-environmental-sustainability-in-undp/SES.html) | | | **UNDP Gender Marker:**  *The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality). Insert one of the following: 1, 2, or 3. Note that a gender maker of 0 (zero) is not appropriate.*  *See further information at* [*https://intranet.undp.org/unit/bpps/sdev/gef/default.aspx*](https://intranet.undp.org/unit/bpps/sdev/gef/default.aspx) | | |
| **Quantum Award ID:** *This must be created after CEO endorsement*/Approval. | | | **Quantum Project/Output ID:** *This must be created after CEO Endorsement/Approval. It can only be approved after Prodoc Signature.* | | |
| **UNDP PIMS ID number:** | | | **GCF Project ID number***: GCF ID number included in GCF funding proposal (e.g. FP016)* | | |
| **LPAC meeting date:**  *this is the actual project appraisal committee meeting date (to be held after the FAA clearance/ added before DOA issuance)* | | | | | |
| **Actual start date:***the date of ‘FAA Effectiveness” which is the date written in the Notice of Effectiveness letter sent by the GCF.* | | | **Project completion date:**  *the date ‘Completion Date’, as defined in the signed FAA. Note that any deadlines codified in the signed FAA are* ***hard legal deadlines*** *that must be met and cannot be pushed back.* | | |
| **Interim Evaluation Report (a.k.a. Mid-Term Review) deadline for submission to GCF:** *add date, in line with FAA Schedule 4 Reporting milestones and deadlines. Note that any deadlines codified in the signed FAA are* ***hard legal deadlines*** *that must be met and cannot be pushed back.*  *To meet the submission deadline, the final Interim Evaluation must be completed and submitted to BPPS/VF Programme Support, Oversight and Compliance Hub no later than 2 months in advance of the submission deadline to allow time for internal review/clearance required prior to submission.* | | | **Final Evaluation Report (a.k.a. Terminal evaluation report deadline for submission to GCF:** *add date, in line with FAA Schedule 4 Reporting milestones and deadlines. Note that any deadlines codified in the signed FAA are* ***hard legal deadlines*** *that must be met and cannot be pushed back.*  *To meet the submission deadline, the final Final Evaluation must be completed and submitted to BPPS/VF Programme Support, Oversight and Compliance Hub no later than 2 months in advance of the submission deadline to allow time for internal review and clearance required prior to submission.* | | |
| **Project Completion Report deadline for submission to GCF:** *add date, in line with FAA Schedule 4 Reporting milestones and deadlines. Note that any deadlines codified in the signed FAA are* ***hard legal deadlines*** *that must be met and cannot be pushed back.* | | |
| **Operational Closure Date:** *Operational closure  must take place within 9 months from the project completion date.* | | | **Financial Closure Date:** *Financial closure must take place within 6 months after operational closure.* | | |
| **Brief project description:** *Briefly (no more than 200 words) describe the overall development challenge and the expected results of the project (refer to Section A.21 of the GCF funding proposal)* | | | | | |
| **Financing Plan** *(only cash transferred to UNDPs bank account and included in the TBWP for this specific GCF project should be included under this section (1), all others should be included under section (2).* | | | | | |
| GCF grant | | | USD | | |
| UNDP TRAC resources *(only if included in the TBWP for this specific GCF project)* | | | USD | | |
| Confirmed cash co-financing to be administered by UNDP *(only cash available in the project and administered by UNDP should be included. Any other cash not administered to UNDP must be entered in the section below)* | | | USD | | |
| *…* | | | *… add additional rows if necessary* | | |
| 1. **Total budget administered by UNDP** | | | **USD** | | |
| **confirmed co-financing committed to the Funded Activity (as defined in the FAA)** (*all other co-financing that is not cash co-financing administered by UNDP[[5]](#footnote-6); indicate also financial instrument)* | | | | | |
| *e.g. Government Ministry of X* | | | **USD** | | |
| *Name of co-financier…* | | | *… add additional rows if necessary* | | |
| 1. **Total confirmed co-financing that is not administered by UNDP (provide one lump sum as an aggregate)** | | | **USD** | | |
| 1. **Grand-Total Project Financing (1)+(2)** | | | **USD** | | |
| **Signatures**  ***Note: If the project document is in french or spanish, the final project document must be cleared by the rta before signature.*** | | | | | |
| **Signature:** print name below | | **Agreed by Government Development Coordination Authority****[[6]](#footnote-7)** | | | **Date/Month/Year:** |
| **Signature:** print name below | | **Agreed by Implementing Partner[[7]](#footnote-8)** | | | **Date/Month/Year:** |
| **Signature:** print name below | | **Agreed by UNDP[[8]](#footnote-9)** | | | **Date/Month/Year:** |

**Disbursement**: Government is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the FAA (and in particular Clause 9of the FAA, as referenced in the Financial Management Section of this Project Document). To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance, as well as understanding that availability of GCF funding is contingent on meeting all conditions listed in the FAA.

# Table of Contents

[I. Table of Contents 11](#_Toc156229817)

[II. Development Challenge 12](#_Toc156229818)

[III. Strategy 12](#_Toc156229819)

[IV. Results and Partnerships 13](#_Toc156229820)

[V. Project Management 17](#_Toc156229821)

[VI. Project Results Framework 18](#_Toc156229822)

[VII. Monitoring and Evaluation (M&E) Plan 21](#_Toc156229823)

[VIII. Governance and Management Arrangements 27](#_Toc156229824)

[IX. Financial Planning and Management 38](#_Toc156229825)

[X. Total Budget and Work Plan 43](#_Toc156229826)

[XI. Legal Context 46](#_Toc156229827)

[XII. Risk Management 47](#_Toc156229828)

[XIII. Mandatory Annexes 62](#_Toc156229830)

[Annex A: GCF Specific Conditions, Representation, Warranties and Covenants 63](#_Toc156229831)

[Annex B: GCF Board-approved Funding Proposal 64](#_Toc156229832)

[Annex C: Letter of agreement between the Implementing Partner and Responsible Parties 65](#_Toc156229833)

[Annex D: Co-financing commitment letters of co-financing (from the project design stage) 66](#_Toc156229834)

[Annex E: Timetable of project implementation 67](#_Toc156229835)

[Annex F: Procurement plan 68](#_Toc156229836)

[Annex G: Terms of References for Project Board and Project Team 69](#_Toc156229837)

[Annex H: UNDP Social and Environmental Screening Procedure (SESP) (to be completed in UNDP Quantum+ and the printout to be attached to the project document) 74](#_Toc156229838)

[Annex I: Environmental and Social Management Plan or Framework (ESMP or ESMF) as relevant 75](#_Toc156229839)

[Annex J: Stakeholder Engagement Plan 76](#_Toc156229840)

[Annex K: Gender Analysis and Action Plan 77](#_Toc156229841)

[Annex L: UNDP Risk Register 78](#_Toc156229842)

[Annex M: Letter of Agreement with the government in case UNDP Support Service Costs are applied 81](#_Toc156229843)

[Annex N: HACT micro assessment and Partner Capacity Assessment Tool (PCAT) 82](#_Toc156229844)

[Annex O: Additional agreements 83](#_Toc156229845)

[Annex P: UNDP Project Quality Assurance Report (to be completed in UNDP Quantum+ and the printout to be attached to the project document) 84](#_Toc156229846)

[Annex Q: Monitoring Activity Table 85](#_Toc156229847)

[Annex [S]: Other annexes included in the Funding Proposal annex package approved by the GCF Board 88](#_Toc156229848)

***Guidance****: Include a list of tables and figures as appropriate. A list of acronyms and abbreviations may also be necessary. Some typical examples include:*

|  |  |
| --- | --- |
| FP | Funding Proposal |
| GCF | Green Climate Fund |
| GCF Sec | Green Climate Fund Secretariat |
| APR | Annual Performance Report |
| POPP | Programme and Operations Policies and Procedures |
| ITAP | GCF Independent Technical Advisory Panel |
| BPPS | Bureau for Policy and Programme Support |

# Development Challenge

***Maximum length 2 pages***

***Guidance:***

*Describe the development challenge that the project seeks to address and how it is relevant to national/regional/global development priorities, as relevant. Include evidence to support the analysis, such as data demonstrating the magnitude of the problem and how it affects different population groups (esp.* [*women and men*](https://intranet.undp.org/unit/bpps/gender/Gender%20Libary/Forms/AllItems.aspx)*, indigenous people, minority and other excluded groups) and why it is important for poverty reduction and addressing inequality and exclusion. Acknowledge the presence of indigenous peoples in the project area (including area of influence), if any, and provide background information to the extent appropriate. Identify the immediate, underlying and root causes[[9]](#footnote-10) of the challenge (including capacity limitations) which have been identified in the problem tree analysis feeding into the Theory of Change. Please be specific.*

*Describe how addressing this challenge is consistent with national strategies and plans or reports and assessments under relevant conventions (e.g. National Action Plan for Adaptation (NAPA) under LDCF/UNFCCC; National Action Program (NAP) under UNCCD; ASGM NAP (Artisanal and Small-scale Gold Mining) under Mercury; Minamata Initial Assessment (MIA) under Minamata Convention; National Biodiversity Strategies and Action Plan (NBSAP) under UNCBD; National Communications (NC) under UNFCCC; Technology Needs Assessment (TNA) under UNFCCC; National Capacity Self-Assessment (NCSA) under UNCBD, UNFCCC, UNCCD; National Implementation Plan (NIP) under POPs; Poverty Reduction Strategy Paper (PRSP); Biennial Update Report (BUR) under UNFCCC; any others that may be relevant).*

*Refer to the information in the GCF Funding Proposal on the Climate Rationale and Context, Country Ownershi and Needs of the Recipient*

# Strategy

***Maximum length 2 pages***

***Guidance:***

*Explain the detailed theory of change (ToC) for this project and what UNDP with partners will do to address the development challenge described above. Identify the approach that has been selected, with a clear rationale backed by credible evidence, integrating gender concerns and as applicable* [*digital considerations*](https://rebrand.ly/DbDProjectGuideEN) *into the approach. Identify what knowledge, good practices and lessons learned (including from evaluation) have informed the analysis of available choices and the selected strategy.*

*Detail the project’s selected approach and explain how it is expected to lead to change at the output level. Clearly link the project’s ToC to the programme/CPD’s ToC by stating how the project will contribute to the UNDAFUNSDCF/CPD outcome. State key assumptions about what will change, for whom, and how this will happen. Assumptions should include consideration of internal factors (relating to project design and implementation) and external factors (relating to other partners, stakeholders and context) that will be critical for achieving expected changes. Cite best available evidence which supports these key assumptions in the ToC, including findings from evaluation and other credible research, as well as knowledge, good practices and lessons learned from previous work by UNDP and others, in this country and in other relevant contexts.*

*Please also include the theory of change diagram in the annex showing the linkages between the development challenge and the immediate, underlying and root causes.*

*Refer to the information in the GCF Funding Proposal on the Climate Rationale and Context and Theory of Change*

# Results and Partnerships

***Recommended length 2 - 5 pages***

***Guidance:***

*Include detail next to the underlined sub-sections below.*

*Refer to the information in the GCF Funding Proposal on Project/Programme Description; Financing by Component; Impact Potential; Paradigm Shift Potential; Sustainable Development Potential; Needs of the Recipient; Risk Assessment and Management; Monitoring, Reporting and Evaluation Arrangements*

Expected Results*: The text under this heading should translate the strategy above into the work that will be done throughout the project. Describe the planned interventions of the project and explain why those interventions are best suited to achieve the intended results, linking this to the theory of change. State what change we expect to see that will be attributable to the project. Expected development change should be included in the results framework and monitored regularly by the project. Link the expected results to the relevant higher level results (i.e., programme outcome, UNSDCF, Strategic Plan.)*

*Note that this also includes the activities and outputs stated in the approved Funding Proposal and which will be implemented through (cash or in-kind) co-financing committed in the FAA and Funding Proposal. Where co-financing has been included as part of the Funding Proposal and specified as such in the FAA, UNDP shall remain accountable to monitor the project results, including results to be delivered by co-financing activities, to ensure consistency with UNDP and GCF policies and procedures, including social and environmental safeguards policies and requirements (SES).*

*In addition, UNDP shall be required to ensure compliance with the legal obligations set out in the AMA and FAA on co-financing with regard to monitoring and reporting on committed and applied co-financing in support of the Funded Activity. These co-financing commitments and legal obligations towards GCF shall be included in this project document. See the standard text below that must be included under this section (****do not delete****).*

UNDP is required to report on the co-financing amounts disbursed and applied towards the implementation of the Funded Activity (i) in each Annual Performance Report (APR), (ii) in the Interim Evaluation, (iii) in the Terminal Evaluation, (iv) in the Project Completion Report, (v) as a condition precedent for all requests for disbursement, within the timeframe to ensure timely requests for disbursements and in form and substance satisfactory to the GCF, and (vi) upon the request of GCF. To this end, all co-financiers (including the Implementing Partner, if applicable) will be requested to provide to UNDP the relevant information in the form of co-financing materialization letters during each of the above project milestones.

*Provide sufficient detail to ensure that the expected results can be screened and monitored per UNDP’s Social and Environmental Standards; importantly, if this includes co-financed activities, these should be specified as such including specifying whether the resources will flow through UNDP accounts.*

*Knowledge management should be a stand-alone component or an output under other components and can no longer be merged with the M&E component. The knowledge management results should include specific details on processes to capture, assess and document and share, in a user-friendly manner, information, lessons, best practices, and expertise generated during implementation; plans for strategic communications; and knowledge outputs to be produced and shared with stakeholders.*

*The project team will ensure extraction and dissemination of lessons learned and good practices to enable adaptive management and upscaling or replication at local and global scales. Results will be disseminated to targeted audiences through relevant information sharing fora and networks. The project will contribute to scientific, policy-based and/or any other networks as appropriate (e.g. by providing content, and/or enabling participation of stakeholders/beneficiaries)*

Agreement on intellectual property rights and use of logo on the project’s deliverables and disclosure of information**:** To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed by UNDP in accordance with relevant policies notably the UNDP Disclosure Policy[[10]](#footnote-11) . In addition GCF may further disclose project information under its own GCF Disclosure Policy[[11]](#footnote-12), in line with the terms and conditions set out in the AMA. See also [GCF Branding Guidelines](https://www.greenclimate.fund/documents/20182/193446/GCF_Branding_Guidelines.pdf/dc7d3c81-12e0-b749-ba0d-1395e529af18).

Carbon offsets or units: As outlined in the AMA agreement between UNDP and the GCF, to the extent permitted by applicable laws and regulations, the Implementing Partner will ensure that any greenhouse gas emission reductions (e.g. in emissions by sources or an enhancement of removal by sinks) achieved by this project shall not be converted into any offset credits or units generated thereby, or if so converted, will be retired without allowing any other emissions of greenhouse gases to be offset.

Resources required to achieve the expected result: *Describe what resources are required to achieve the expected results. Thinking about the change pathway in your theory of change, state the key inputs (people, purchases, partnerships, etc.) that are required to deliver the outputs. This should include UNDP staff time from the country, region or HQ level, which must be adequately estimated, costed, and included in the project budget.*

Partnerships: *Describe how the project will work with partners, including partners identified as co-financiers, to achieve results. Briefly map other relevant initiatives to address the development challenge this project is also addressing and how their work is critical to the achievement of the results of this project (this can be presented as a table). This should include other GCF/GEF/LCDF/SCCF financed projects and other relevant projects. Elaborate on the private sector’s engagement in the project, if any.*

*Include description of Parallel Financing where relevant, though be clear that this is not a part of the project results or activities. This relates to* financial resources that flow alongside GCF Proceeds to the Project, but which are not required for the implementation of the Funded Activity, and which are earmarked for other outcomes and may be consistent with general mitigation and adaptation measures.

Risks and Assumptions*:**Specify the key risks that can threaten the achievement of results through the chosen strategy and the assumptions on which the project results depend. Describe how project risks will be mitigated and summarize the findings of the project’s SESP, especially how potential adverse social and environmental impacts will be (or have been) avoided where possible and otherwise managed. Describe and explain any major changes from the concept-stage SES screening. Reference any additional SES-related annexes (beyond the SESP, SEP and GAP required of all projects). If further assessment and management plan(s) are to be undertaken during project implementation, specify here which project activities cannot commence until those plans are in place. Refer to the full risk register, which should be attached as an annex. Description of a project-level Grievance Redress Mechanism, if required, should be included in the management framework/plan (if prepared) or in a separate annex. If the project was determined exempt from the SESP, provide a justification.*

*Ensure that all legal obligations in the AMA and FAA are correctly included in the Prodoc, including in particular insofar as they contain covenants or representations regarding SES. For SAP projects, this section on risks should be especially robust, to justify the low categorization.*

Stakeholder engagement: *Identify key stakeholders and outline a strategy to ensure stakeholders are engaged throughout, including:*

* *Target Groups: Identify the targeted groups that are the intended beneficiaries of the project. What strategy will the project take to identify and engage targeted groups?*
* *Other Potentially Affected Groups: Identify potentially affected people and a strategy for engagement and ensuring they have access to and are aware of mechanisms to submit concerns about the social and environmental impacts of a project (e.g. UNDP’s Social and Environmental Compliance Review and Stakeholder Response Mechanism).*

*A* *[stakeholder engagement plan](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf) must be included in Annex, which must be “comprehensive” if the project is categorized as SES Substantial. Summarize the main engagement strategies necessary to ensure stakeholder engagement throughout the project duration. If Free, Prior and Informed Consent (FPIC) is required, then ensure this is clearly stipulated with reference to the specific project activities for which it is required and to the relevant ProDoc annexes (e.g. IPPF) and ensure that any and all legal obligations pertaining to FPIC and stakeholder consultation in the AMA and FAA are correctly included in this Prodoc.*

South-South and Triangular Cooperation (SSC/TrC): *Highlight here specific actions on south-south and triangular cooperation to present opportunities for replication in other countries and facilitate dissemination through ongoing South-South and global platforms, such as Africa Solutions Platform, the UN South-South Galaxy knowledge sharing platform and PANORAMA[[12]](#footnote-13).* In addition, to bring the voice of [*insert country xxxx*] to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on [insert topic xxxx]. The project will provide regional cooperation opportunities with countries implementing initiatives on *[insert topic xxxx]* in geopolitical, social and environmental contexts relevant to the proposed project in *[insert country xxx].*

Gender equality and Women’s Empowerment: *A gender analysis and gender action plan must be included as a separate Annex. Summarize the main recommendations of the gender analysis and critical elements of the gender action plan in this section, clearly outlining what the project will do to address gender equality and women’s empowerment in project outcomes.*

Knowledge: Describe any specific knowledge products, besides evaluations, that will be produced by the project (e.g., publications, databases, media products, etc.) and how the project will create visibility for knowledge and lessons learned generated by the project so others can benefit.

Innovativeness, Sustainability and Potential for Scaling Up: *Describe the innovation and potential for scale-up. Describe mechanisms to ensure long-term sustainability/durability of project results noting how the project will use relevant national systems and specify the transition arrangements/exit strategy and/or sustainability plan to sustain and/or scale-up project results. How will the intervention continue to be implemented without GCF grant financing once this project is completed?*

***Digital Solutions****[[13]](#footnote-14): Describe how the project will use digital technologies and solutions to improve the target beneficiaries and partners’ experiences and solve the development challenge(s) identified.*

# 

# Project Management

***Recommended Length: 1/2 – 2 pages***

***Cost Efficiency and Effectiveness***

*Identify how the strategy is expected to deliver maximum results with available resources, with reference to evidence on similar approaches in this country or similar contexts. Include measures based on good practices and lessons learned. Explain why the selected pathway is the most efficient and effective of available options. Possible approaches can include:*

1. *Using the theory of change analysis to explore different options to achieve the maximum results with available resources*
2. *Using a portfolio management approach to improve cost effectiveness and learning by leveraging activities and partnerships with other initiatives/projects*
3. *Through joint operations (e.g., monitoring or procurement) with other partners.*

***Project Management***

*Information on the location(s) where the project will be operationalized, the number and location of physical project offices, arrangements for dedicated or shared operations support, how the project will work with other projects, etc. In this section, also describe the audit arrangements, collaborative arrangements with related projects and UNDP Direct Country Office Support Services and direct project costing, if applicable.*

# Project Results Framework

***Guidance****:*

*The below results framework shall reflect sections E.1, E.2, E.3, E.4., E.5, E.6 of the funding proposal, as approved by the GCF Board. See also GCF* [*Integrated Results Management Framework (IRMF)*](https://www.greenclimate.fund/document/integrated-results-management-framework).

*UNDP is accountable for monitoring all activities in the results framework, including co-financing activities financed with resources that do not flow through UNDP accounts. This monitoring must* ***ensure consistency with UNDP and GCF policies and procedures,*** *including social and environmental safeguards policies and requirements (SES).*

***Co-financed activities****: Recall that for GCF all “co-financing” must be included in the project results. Parallel financing should* ***not*** *be included in the results framework.*

*For entry in the Quantum ‘Project Results’ module:*

* *Enter GCF impact indicators, GCF outcome/Core Indicators, and GCF co-benefit indicators from the Results Framework into the Quantum ‘Project Indicators’ tab*
* *GCF project outputs from the Results Framework will appear as Quantum Outputs*
* *Enter project-specific output-level indicators from the Results Framework under the relevant outputs in the Quantum ‘Outputs’ tab*

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Contribution to the Sustainable Development Goal (s):** *list relevant SDG goal (s)* | | | | | | | | | | |
| **Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework:** *copy relevant outcome here* | | | | | | | | | | |
| **Applicable Output(s) from the UNDP Strategic Plan:** *write in relevant SP IRRF Output(s) here (for ex. 1.1, 4.1, 4.2, 5.1, 5.2, etc.)* | | | | | | | | | | |
| **Project title and Quantum Project Number:** | | | | | | | | | | |
| **GCF Project/Programme Focus:** *copy from GCF funding proposal E.1. Logical Framework (no changes can be made)* | | | | | | | | | | |
| Reduced emissions (mitigation)  Increased resilience (adaptation) | | | | | | | | | | |
| **GCF IMPACT LEVEL – Paradigm shift potential:** *Copy from Table E2 in the GCF funding proposal (no changes can be made) These are pre-defined and selected from the GCF Integrated Results Management Framework (IRMF)* | | | | | | | | | | |
|  | **Current state (Baseline)** | | | | **Potential target scenario**  **(Description)** | | | **How the project/programme will contribute (Description)** | | |
| **Description** | **Rating** | | |
| **Scale** |  |  | | |  | | |  | | |
| **Replicability** |  |  | | |  | | |  | | |
| **Sustainability** |  |  | | |  | | |  | | |
|  | **Objective and Outcome Indicators** | **Baseline** | | | **Mid-term Target** | **End of Project Target** | | **Assumptions** | | |
| **SDG indicators** | *Copy the SDG indicator(s) linked to the SDG goal listed in the top line of this table. See* [*http://unstats.un.org/sdgs/indicators/database/*](http://unstats.un.org/sdgs/indicators/database/) *for more information* | *See* [*http://unstats.un.org/sdgs/indicators/database/*](http://unstats.un.org/sdgs/indicators/database/) | | | *Expected status a mid- point of project implementation* | *Expected status a project closure* | | *Note how project data will link with national statistics offices or other bodies monitoring SDG indicators* | | |
| **GCF OUTCOME LEVEL : Reduced emissions and increased resilience (IRMF Core Indicators, quantitative indicators) *Copy from GCF funding proposal (no changes can be made) These are pre-defined and selected from the GCF IRMF*** | | | | | | | | | | |
| **GCF Results Area** | **IRMF Indicator** | **Means of Verification (MOV)** | | **Baseline** | **Mid-term Target** | | **End of Project Target** | | **Assumptions** | |
| *Copy all GCF results areas included in GCF funding proposal Table E.3. Add rows if needed* | *Copy the IRMF core indicators for each result area (these are fixed by the GCF)* | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | |
| *Copy all GCF results areas included in GCF funding proposal Table E.3. Add rows if needed* | *As above* | *As above* | | *As above* | *As above* | | *As above* | | *As above* | |
| **GCF OUTCOME LEVEL: Enabling environment (IRMF Core Indicators, qualitative indicators) *Copy from GCF funding proposal (no changes can be made). These are pre-defined outcomes selected from the GCF IRMF.*** | | | | | | | | | | |
| **Core Indicators** | | **Baseline context (description)** | | | **Rating for current state (baseline)** | **Target scenario (description)** | | **How the project will contribute** | | **Coverage** |
| *Copy the IRMF core indicator included in GCF funding proposal Table E.4. Add rows if needed* | | *As above* | | | *As above* | *As above* | | *As above* | | *As above* |
| *Copy the IRMF core indicator included in GCF funding proposal Table E.4. Add rows if needed* | | *As above* | | | *As above* | *As above* | | *As above* | | *As above* |
| **PROJECT/PROGRAMME SPECIFIC INDICATORS: (Outputs): *Copy from GCF funding proposal (no changes can be made).*** | | | | | | | | | | |
| **Project Results (Outputs)** | **Indicator** | ***Means of Verification (MOV)*** | **Baseline** | | **Mid-term Target** | **End of Project Target** | | **Assumptions** | | |
| *Copy all expected results (outputs) included in GCF funding proposal Table E.5* | *Copy the indicator for each result. If necessary, add rows if there is more than one indicator for each output* | *Copy from GCF funding proposal* | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | | |
| *Copy all expected results (outputs) included in GCF funding proposal Table E.5* | *As above* | *As above* | *As above* | | *As above* | *As above* | | *As above* | | |
| *Copy all expected results (outputs) included in GCF funding proposal Table E.5* | *As above* | *As above* | *As above* | | *As above* | *As above* | | *As above* | | |
| **PROJECT/PROGRAMME CO-BENEFIT INDICATORS: *Copy from GCF funding proposal (no changes can be made)*** | | | | | | | | | | |
| **Co-benefit** | **Indicator** | **Baseline** | | | **Mid-term Target** | **End of Project Target** | | **Assumptions** | | |
| *Copy all expected co-benefits included in GCF funding proposal Table E.* | *Copy the indicator for each co-benefit.* | *Copy from GCF funding proposal* | | | *Copy from GCF funding proposal* | *Copy from GCF funding proposal* | | *Copy from GCF funding proposal* | | |
| *Copy all expected co-benefits included in GCF funding proposal Table E..* | *As above* | *As above* | | | *As above* | *As above* | | *As above* | | |
| *Copy all expected co-benefits included in GCF funding proposal Table E.* | *As above* | *As above* | | | *As above* | *As above* | | *As above* | | |
| ***DO NOT INCLUDE ACTIVITIES OR SUB-ACTIVITIES/DELIVERABLES IN THIS PROJECT RESULTS FRAMEWORK*** | | | | | | | | | | |

**Modifications to the Project Results Framework**: **No modifications to the Project Results Framework shall be allowed**, unless the Implementing Partner has sought and obtained prior agreement/approval from UNDP, where pursuant to the terms of the AMA, FAA or GCF policies, UNDP may be required to seek formal prior approval from GCF in relation to proposed modifications to the Funded Activity, in particular where the modifications could reasonably be considered to constitute a Major Change (as defined in the GCF policies). All minor and major modifications shall be duly documented in a Note to File and shall be cleared by UNDP-BPPS in line with UNDP policies and Standard Operating Procedures.

# Monitoring and Evaluation (M&E) Plan

***Guidance:***

*This section outlines the GCF M&E requirements only. Do not remove the standard text below. Please add UNDP requirements if helpful, and other project specific M&E activities as needed*

*Costs for KM and communication products should not be included in this M&E section and M&E budget but under other project components.*

*Fully complete the Monitoring Plan and Evaluation Plan tables; do not leave them blank. The budget shall correspond to the overall budget and align with the monitoring and evaluation plan presented to the GCF at project design stage and should range from 1-2% of the project grant budget for each.*

*Insert the monitoring and evaluation plan submitted to GCF in Annex Q.*

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](https://popp.undp.org/) and [UNDP Evaluation Policy.](http://web.undp.org/evaluation/policy.shtml) **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional M&E requirements will be undertaken in accordance with the [GCF Integrated Results Management Framework](https://www.greenclimate.fund/document/integrated-results-management-framework), [GCF Evaluation Policy](https://www.greenclimate.fund/document/evaluation-policy-gcf), and other relevant [GCF policies](https://www.greenclimate.fund/document/gcf-handbook). The costed M&E plans included below, and the Monitoring Activity Plan in Annex Q, will guide the GCF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

**Minimum project monitoring and reporting requirements as required by the GCF:**

Inception Workshop and Report: A project inception workshop will be held after the Funded Activity Agreement becomes effective, with the aim to:

1. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
2. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
3. Review the results framework and monitoring plan.
4. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GCF National Designated Authority and other stakeholders in project-level M&E.
5. Update and review responsibilities for monitoring project strategies, including the risk register; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
6. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
7. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
8. Formally launch the Project.

**The inception report is to be submitted to GCF within six months of project start** (i.e. Funded Activity Agreement effectiveness)[[14]](#footnote-15). The inception report will be cleared by the UNDP Country Office and the UNDP-BPPS Regional Technical Adviser and approved by the Project Board.

GCF Annual Performance Report (APR) (due for submission to the GCF by 1st March each year of project implementation):

The annual GCF APR covering the reporting period January to December will be completed for each year of project implementation. UNDP will undertake quality assurance of the APR before submission to the GCF. The APR process and will follow the standard annotated GCF templates and UNDP guidance prepared by BPPS for GCF-financed projects.

The Project Manager, the UNDP Country Office, and the BPPS Regional Technical Advisor will provide objective input to the APR. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report. The Project Manager and CO must complete a high-quality draft APR and financial file for review and input by the BPPS RTA and for an internal quality assurance and clearance process prior to submission of the APR to the GCF.

The UNDP Country Office will coordinate the input of other stakeholders to the APR, as appropriate. The quality rating of the previous year’s report will be used to inform the preparation of the subsequent report.

The APR submitted to the GCF shall be shared with the Project Board and disclosed publicly on GCF’s website.

All project documents should have an annex that outlines in detail the project results, tracking and verification system as part of the description of the project’s M&E framework.

Independent Interim Evaluation Report (IER):

An independent interim evaluation report will be submitted to the GCF by [*add IER submission date included on cover page of this project document]. This is a legally binding deadline. If it cannot be met because of extraordinary circumstances, a milestone extension request must be sent to and cleared by BPPS/VF* *Programme Support, Oversight and Compliance Hub and submitted to the GCF Secretariat at least 2 months prior to the submission deadline.*

In order to meet the submission deadline, the final IER must be completed and sent to BPPS/VF Programme Support, Oversight and Compliance Hub no later than 2 months in advance of the GCF submission deadline to allow sufficient time for internal review/clearance that is required prior to submission. Therefore, the IER process must start no later than 8 months before the expected date of submission to the GCF.

The terms of reference, the review process and the final IER report will follow the standard templates and guidance prepared by UNDP for GCF-financed projects available on the [UNDP Evaluation Resource Center (ERC).](https://erc.undp.org/)

The evaluation will be independent, impartial

and rigorous. The evaluator(s) that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GCF NDA and other stakeholders will be involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS RTA and BPPS VF Programme Support, Oversight and Compliance Hub .

The final IER will be publicly available in English and will be posted on the UNDP ERC by [*Add IER submission date included on cover page of this project document*]. A management response to IER recommendations will be posted in the ERC within six weeks of the IER’s completion and submitted to the GCF Secretariat as per the AMA/FAA requirements.

Project Completion Report (PCR):

The Project Completion Report will cover the project’s final calendar year of implementation and will be due for submission to the GCF within [3 months] *[to be confirmed in line with Schedule 4 of the FAA]* after the project completion date.[[15]](#footnote-16)

The Project Manager, the UNDP Country Office, and the BPPS Regional Technical Advisor will provide objective input to the PCR covering the final calendar year of implementation. The Project Manager and CO must complete a high-quality draft PCR and financial file for review and input by BPPS RTA and for an internal quality assurance and clearance process prior to submission of the APR to the GCF.

The UNDP Country Office will coordinate the input of other stakeholders to the PCR, as appropriate.

Independent Final Evaluation Report (FER):

An independent final evaluation report (FER) will take place upon completion of all major project outputs and activities and will be submitted to the GCF by [*add FER submission date included on cover page of this project document]. This is a legally binding deadline. If it cannot be met because of extraordinary circumstances, a milestone extension request must be sent to and cleared by BPPS/VF Programme Support, Oversight and Compliance Hub and submitted to the GCF Secretariat at least 2 months prior to the submission deadline.*

In order to meet the submission deadline, the final version of the FER must be completed and sent to BPPS RTA no later than 2 months in advance of the GCF submission deadline to allow sufficient time for internal review/clearance that is required prior to submission. Therefore, the FER process must start no later than 8 months before the expected date of submission to the GCF.

The terms of reference, the evaluation process and the final FER will follow the standard templates and guidance prepared by the UNDP for GCF-financed projects available on the [UNDP Evaluation Resource Center](https://erc.undp.org/).

The evaluation will be independent, impartial and rigorous. The evaluator(s) that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GCF NDA and other stakeholders will be involved and consulted during the final evaluation process. Additional quality assurance support is available from BPPS RTA and VF Programme Support, Oversight and Compliance Hub.

The final FER will be publicly available in English and posted on the UNDP ERC by *(add date FE submission date included on cover page of this project document)*. A management response to the FER recommendations will be posted to the ERC within six weeks of the FER report’s completion and submitted to the GCF Secretariat as per the AMA/FAA requirements.

Final Report:

The project’s Project Completion Report along with the final evaluation report (FER) and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Monitoring and Evaluations Plans:**

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans**.**

Monitoring Plan**:** The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GCF APR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

See Annex Q for the detailed Monitoring Activity Table.

| **GCF Monitoring requirements** | **Frequency/ Timeframe** | **Expected Action** | **Primary responsibility** | **Partners (if joint)** | **Indicative costs to be charged to the Project Budget[[16]](#footnote-17) (US$)** |
| --- | --- | --- | --- | --- | --- |
| **Inception Workshop** |  | As per above description | Implementing Partner  Project Manager (PM)/Coordinator/Chief Technical Advisor (CTA) |  | *Add* |
| **Inception Report and baseline assessments** | *Add date indicated in the FAA- Schedule 4* | As per above description | PM/Coordinator/CTA |  | *Add , if needed for baseline assessments* |
| **Risk management (including Quantum Risk Register)** | Quarterly | Risks are identified by Project Team and actions are taken to manage risk. The risk register is actively maintained to keep track of identified risks and actions taken | PM/Coordinator/CTA  Country Office |  | None |
| **Monitoring of indicators in project results framework**  ***(including hiring of external experts, project surveys, data analysis, data collection for IER and FER, etc.)***  ***See Monitoring Activity Table in Annex Q*** | On-going | Slower than expected progress will be addressed by project management | PM/Coordinator/CTA |  | *Add* |
| **GCF Annual Performance Report** | Annually as per FAA | Mandatory contribution by Project Team, CO and BPPS RTA. Strengths and weaknesses to be reviewed by project management and used to inform decisions to improve project performance | RTA  UNDP Country Office[[17]](#footnote-18)  PM/Coordinator/ CTA |  | Add |
| **Audit of Implementing Partner as per UNDP audit policies** | As per UNDP Audit policies |  | UNDP Country Office |  | *Add, as per UNDP audit policies* |
| **Lessons learned, case studies, and knowledge generation** | On-going | Relevant lessons are captured by project management and used to inform management decisions, raise awareness, etc. | Project Manager |  | *Add* |
| **Monitoring of** *[list safeguards management frameworks and/or plans here; delete row if none]* | On-going |  | Project Safeguards Officer |  | *Add as per plan* |
| **Monitoring of gender action plan** | On-going |  | Project Gender Officer |  | *Add as per plan* |
| **Monitoring of stakeholder engagement plan** | On-going |  | Project Stakeholder Engagement Officer |  | *Add as per plan* |
| **Addressing environmental and social grievances** | *Costs associated with missions, workshops, UNDP-BPPS expertise etc. can be charged to the project budget.* |  | Project Manager  UNDP Country Office  UNDP-BPPS as needed |  | *Add* |
| **Project Board meetings** | At minimum annually |  | Project Board  UNDP Country Office  PM |  | Add total  (Per year: USD *X)* |
| **Supervision missions** | Two per year |  | UNDP Country Office |  | None**[[18]](#footnote-19)** |
| **Oversight missions** | Troubleshooting as needed |  | RTA  UNDP BPPS |  | None**[[19]](#footnote-20)** |
| **GCF learning missions/site visits** | To be determined. |  | UNDP Country Office and Project Manager and UNDP BPPS |  | *Add* |
| **Oversight of IE process and IE management response** | As per IER schedule |  | UNDP Country Office and UNDP BPPS |  | None14 |
| **Project Completion Report** | Add date(s) specified in Schedule 4 of the FAA | Mandatory contribution by Project Team, CO and BPPS RTA. Strengths and weaknesses to be reviewed by project management and used to inform decisions to improve project performance | RTA  UNDP Country Office[[20]](#footnote-21)  PM/Coordinator/ CTA |  | *Add* |
| **Translation of evaluation reports into English** | As required. GCF will only accept reports in English. |  | UNDP Country Office |  | *Add* |
| **Oversight of FE process and FE management response** | As per FER schedule |  | UNDP |  | None14 |
| **TOTAL indicative COST**  Excluding project team staff time, and UNDP staff and travel expenses | | | | | *Add*  *1-2% of Total GCF grant NOT TOTAL budget* |

**Evaluation Plan**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **GCF Evaluation Requirements** | **Partners (if joint)** | **Related Strategic Plan Output** | **UNSDCF/CPD Outcome** | **Submission Date to GCF** | **Key Evaluation Stakeholders** | **Cost and Source of Funding** |
| Independent Interim Evaluation |  |  |  | By the IER submission date on cover page of this project document |  | *Add*  Charged to Fee budget |
| Independent Final Evaluation |  |  |  | By the FER submission date on cover page of this project document |  | *Add*  Charged to Fee budget |
| **TOTAL indicative COST** | | | | | | *Add*  *1-2% of Total GCF grant NOT TOTAL budget* |

# Governance and Management Arrangements

***Guidance:***

*As stated in the UNDP POPP, the UNDP Country office must ensure compliance with UNDP policies on selection of Implementing Partner and Responsible Parties. Refer to the link here:* [*https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=452&Menu=BusinessUnit*](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=452&Menu=BusinessUnit)

*Explain the roles and responsibilities of the parties involved in governing and managing the project. Minimum requirements for a project’s governance arrangements include stakeholder representation (i.e., UNDP, national partners, beneficiary representatives, donors, etc.) with authority to make decisions regarding the project. Describe how target groups will be engaged in decision making for the project, to ensure their voice and participation. The project’s management arrangements must include, at minimum, a project manager and project assurance that advises the project governance mechanism. This section should specify the minimum frequency the governance mechanism will convene (i.e., at least annually.)*

***UNDP due diligence tools PCAT and HACT:*** *The partner capacity assessment tool (PCAT) and the HACT capacity assessment completed early in the design phase should be used to inform the completion of the project organization structure. The* [*partner capacity assessment tool (PCAT) considers project management capacities and the HACT assessment*](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=452&Menu=BusinessUnit&Beta=0) *helps to identify capacity gaps in the partner’s financial management system and practices, and to determine ways and means of addressing them. The assessment also informs decisions on the use of national implementation and the role of UNDP in providing support services, at the request of the Implementing Partner.* ***The HACT and PCAT are mandatory at the project design stage and must be completed by the time the project (Funding Proposal) is submitted for approval by the GCF Board****. If the Implementing Partner requests UNDP support services (both Technical and Administrative Support Services) these costs need to be transparently and correctly budgeted in the TBWP and approved by GCF.*

***Project governance structure****: Choose one of the six options presented below (delete the other options). For a NIM project, do not delete the following sentence “In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.*

*The project governance structure should reflect in all circumstances a clear functional separation between those performing an oversight function and those performing an execution function. These functions are explained below (delete these two images from the final project document).*

*A close-up of a document

Description automatically generated with low confidence*

*A diagram of a project

Description automatically generated with medium confidence*

**Section 1: General roles and responsibilities in the projects’ governance mechanism**

Implementing Partner: The Implementing Partner for this project is (insert name). *[Must be* ***one*** *of the following: Government entity OR UNDP OR United Nations Agency or Civil Society including non-governmental organizations or non-UN intergovernmental organization. There can only be one Implementing Partner for one Project Document. Please do not add anything additional on the implementation modality (covered in the signature page) or the SBAA (which is already described in the Legal Context section]*

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

* Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
* Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
* Procurement of goods and services, including human resources.
* Financial management, including overseeing financial expenditures against project budgets.
* Approving and signing the multiyear workplan.
* Approving and signing the combined delivery report at the end of the year; and,
* Signing the financial report or the funding authorization and certificate of expenditures.

Responsible Parties:*Explain the Responsible parties and their role in the delivery of outputs on behalf of the implementing partner.*

*An implementing partner may enter into a written agreement with other organizations, known as responsible parties, to provide goods and/or services to the project, carry out project activities and/or produce outputs using the project budget. Implementing partners use responsible parties to take advantage of their specialized skills, to mitigate risk and to relieve administrative burdens.*

***By definition, UNDP cannot be a responsible party in a UNDP project.*** *In cases when UNDP provides support services to a project, UNDP does so in a separate capacity termed country office support (COS). Any such direct project services (both Technical and Administrative Support Services) need to be transparently and correctly budgeted in the TBWP.*

*For projects implemented by partners other than UNDP, the relevant legal instrument of the partner institution should be used. Responsible parties are directly accountable to the implementing partner in accordance with the terms of their agreement or contract with the implementing partner.*

***Given that responsible parties play an execution role and are directly accountable to the implementing partner, responsible parties should never serve on the Project Board to avoid a conflict of interest.***

*Note that responsible parties are not required to be engaged by a UNDP legal instrument unless UNDP is the Implementing Partner of the project. If UNDP is the implementing partner for this project, or UNDP provides country office support (support to NIM) which includes the engagement of responsible parties by UNDP on behalf of the IP (if approved by the GCF), and the responsible parties have been identified, include the legal instruments used by UNDP to engage a responsible party in Annex to this Project Document.*

*When identified in advance, list the roles and responsibilities of the Responsible Parties in the project and include them in the Project Organization Structure diagram noting that they cannot serve on the Project Board.*

*For further guidance on the selection and engagement of Responsible Parties please refer to the relevant* [*section*](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Design_Select%20Responsible%20Party%20and%20Grantees.docx&action=default) *of the UNDP POPP PPM.*

Project stakeholders and target groups: *Describe how project target groups will be engaged in decision making for the project.*

UNDP: UNDP is accountable to the GCF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GCF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP BPPS Executive Coordinator, in consultation with UNDP Regional Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GCF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

*Add following sentence if the implementing partner is not UNDP and if UNDP is performing ANY support to execution for the implementing partner:* A firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GCF Fee and any support to project execution performed by UNDP (as requested by and agreed to by both the Implementing Partner and GCF) and should be correctly budgeted in the TBWP agreed with the GCF. The segregation of functions and firewall provisions for UNDP in this case is described in the next section.

*Add following sentence if the implementing partner is UNDP:* A strict firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and project execution undertaken by UNDP. The segregation of functions and firewall provisions within UNDP in this case is described in the next section.

**Section 2: Project governance structure (*choose one of the options below and delete the options not chosen*).**

1. ***Options for Country Projects***

*Option 1: to be used when the project is fully nationally implemented by a Government Entity, CSO, or UN Agency Implementing Partner* ***and*** *where UNDP* ***is not*** *providing execution support to the Implementing Partner.*

A diagram of a project

Description automatically generated with low confidence

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

*Option 2: (support to NIM) when UNDP is providing country support services to the Implementing Partner via a Country Office as agreed in the LOA included in Annex*

A picture containing text, screenshot, font, number

Description automatically generated

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

**UNDP project support *(only add paragraph if the approved project includes UNDP support services)****:* The Implementing Partner and GCF NDA have requested UNDP to provide support services in the amount of *USD$ [add total amount listed in the letter included in Annex]* for the full duration of the project, the cost of which has been duly budgeted in the TBWP for the execution support services [and for the cost of these services to be charged to the project budget] OR [provided however that such costs will not be charged to the project budget but will be fully covered by non-GCF resources] **(Please delete as appropriate)**. The execution support services – whether financed from the project budget or other non-GCF sources - have been set out in detail and agreed between UNDP Country Office and the Implementing Partner in a Letter of Agreement (LOA). This LOA is attached to this Project Document.

To ensure the strict independence required by the UNDP Internal Control Framework, these execution services will be delivered independent from the GCF-specific oversight and quality assurance services.

*Option 3: when the UNDP Country Office is the Implementing Partner (Country Office DIM)*

A diagram of a project

Description automatically generated with low confidence

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

1. ***Options for Regional and Global Projects***

*Option 4: when the UNDP regional hub is the implementing partner (Regional DIM)*

A diagram of a project

Description automatically generated with low confidence

The UNDP Regional Hub Director assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP Regional Bureau representative in the Hub will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

*Option 5: when UNDP-BPPS is the implementing partner (Global DIM)*

A diagram of a project

Description automatically generated with low confidence

UNDP-BPPS assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP-BPPS representative will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

*Option 6: when CSO or other UN Agency is the implementing partner (i.e. Regional/Global Agency or CSO Execution)*

A diagram of a project

Description automatically generated with low confidence

UNDP-BPPS assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP-BPPS representative will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

**Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:**

*Add following sentence if Option 1 or 6 was selected and the implementing partner is not UNDP and if UNDP is not* performing *ANY support to execution for the implementing partner:*  In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

*Add following sentence if Option 2 was selected and the implementing partner is not UNDP, but UNDP is performing ANY support to execution for the implementing partner:* In this case, UNDP’s implementation oversight role in the project – as represented in the project board and via the project assurance function – is performed by [**indicate UNDP person on Project Board and UNDP person providing project assurance.]** UNDP’s execution role in the project (as requested by the implementing partner and approved by the GCF) is performed by **[indicate UNDP function/person, which must be different than the UNDP function/person performing the assurance function listed above],** who will report to **[clarify the reporting lines, which will not involve the UNDP unit performing the assurance function].**

*Add following sentence if Options 3, 4 or 5 were selected and the implementing partner is UNDP:* UNDP’s implementation oversight role in the project – as represented in the project board and via the project assurance function – is performed by [**indicate UNDP person on Project Board and UNDP person providing project assurance.]** UNDP’s execution role in the project is performed by **[indicate UNDP function/persons, different than those listed above],** who will report to **[clarify the reporting lines, which will not involve the UNDP person performing the assurance function].**

**Section 4: Roles and Responsiblities of the Project Organization Strucutre:**

1. **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two prominent (mandatory) roles of the project board are as follows:

1. **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the [“Provide Oversight”](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Implement_Provide%20Oversight.docx&action=default) section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk register and the combined delivery report. The Project Board is the main body responsible for taking corrective action as needed to ensure the project achieves the desired results.
2. **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner(as explained in the [“Manage Change”](file:////node/1931) section of the POPP).

**Requirements to serve on the Project Board**: *to be included in the TOR of the Project Board*

* Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
* Meet annually; at least once.
* Disclose any conflict of interest in performing the functions of a Project Board member (if not avoidable) and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
* Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
* Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

**Responsibilities of the Project Board**: *to be included in the TOR of the Project Board*

* Consensus decision making:
  + The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and provides overall oversight of the project implementation.
  + Review project performance based on monitoring, evaluation and reporting, including progress reports, risk register and the combined delivery report;
  + The project board is responsible for making management decisions by consensus.
  + In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
  + In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed*. (Do not edit or delete this sentence!)*
* Oversee project execution:
  + Agree on project manager’s tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager’s tolerances are exceeded.
* Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
* Address any high-level project issues as raised by the project manager and project assurance;
* Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS/VF Executive Coordinator (and the GCF Secretariat and/or GCF Board, as required by GCF policies);
* Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
* Track and monitor co-financed activities and realisation of co-financing amounts of this project.
* Approve the Inception Report, Baseline Report, GCF APRs, Interim Independent Evaluation and terminal evaluation reports, other reports that GCF may require.
* Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
* Risk Management:
  + Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
  + Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project’s area of influence that have implications for the project.
  + Address project-level grievances.
* Coordination:
  + Ensure coordination between various donor and government-funded projects and programmes.
  + Ensure coordination with various government agencies and their participation in project activities.

**Composition of the Project Board**: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: *Add name(s) and title,*
2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: *Add name(s) and title*
3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: *Add name (s) and titles (in NIM projects, this is typically the UNDP Resident Representative or Deputy Resident Representative who will ensure the policies of UNDP and the GCF are complied with. Other co-financing partners can also jointly hold this role. As noted above responsible parties cannot serve on the Project Board)*
4. **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including applying and ensuring compliance with UNDP’s risk management and social and environmental management systems to ensure the SES are applied through the project cycle. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP’s project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: *(insert name. for NIM projects this is typically CO programme or monitoring & evaluation officer).*

1. **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

*Roles and responsibilities of the PMU members should be detailed in the respective Annex noting that the PMU cannot be located in the UNDP Country Office.* A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: *(Add name and title)*

# Financial Planning and Management

***Guidance:*** *Please complete missing text below. See GCF policy on co-finance.*

The total cost of the project is *USD XXX.* This is financed through a GCF grant of *USD* XXX, *USD XXX* in cash co-financing to be administered by UNDP and *USD XXX* in other co-financing not administered by UNDP. UNDP is responsible for the oversight of implementation of the Funded Activity, including those activities and outcomes supported by GCF resources and through co-financing.

Co-finance disbursement monitoring: The actual realization (materialization) of project co-financing will be monitored and reported (i) in each Annual Performance Report (APR), (ii) in the Interim Evaluation, (iii) in the Terminal Evaluation, (iv) in the Project Completion Report, (v) as a condition precedent for all requests for disbursement, within the timeframe to ensure timely requests for disbursements and in form and substance satisfactory to the GCF, and (vi) upon the request of GCF. Signed letters from co-financiers will be requested for (i) and (v) to confirm the amounts that have materialized for the respective calendar year or implementation year.

Co-financing will be used for the following project outputs:

(*Complete table below based on Schedule 2 of the FAA/add rows/columns, as needed; note that parallel finance should not be included here)*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Co-financing source** | **Co-financing type/financial instrument** | **Name of Co-financier** | **Investment Mobilized** | **Co-financing amount** | **Co-financing**  **Outputs** |
| *(e.g. government)* | *(E.g. Grant (In kind or cash))* | *(e.g. Ministry of X)* | *(either Investment mobilized or recurrent expenditures)* | *USD XX* | *(E.g. Project management, office space, infrastructure development etc…)* |
| … | … |  |  | … | … |

GCF Disbursement schedule: GCF grant funds will be disbursed by GCF upon submission of the Request for Disbursement (RfD) to GCF according to the indicative disbursement schedule (submitted to GCF as a condition for FAA effectiveness) and upon meeting all conditions precedent to disbursement. The Country Office will submit an annual work plan to the UNDP BPPS/VF Programme Support, Oversight and Compliance Hub and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 80% delivery annually to accomplish the expected outputs/activities on a timely manner, within the planned duration to avoid extension of the project.

*(copy FAA ‘indicative disbursement schedule’ here)*

Conditions Precedent for Disbursement: The Government/Implementing Partner is aware of the conditions and covenants of disbursement ascribed to the first and subsequent tranches of the GCF funding, as further set out below. To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance, as well as understanding that availability of GCF funding is contingent on meeting all conditions listed. The UNDP-BPPS unit will conduct a compliance review the FAA conditions precedent and covenants to disbursement as a part of the internal clearance procedures for submitting request for disbursements to the GCF.

*(Please include comprehensive list of conditions precedent and covenants for disbursement, as set out in the FAA, in particular Clauses 9 and 10 of the FAA; for earlier projects, the clause numbers will differ).*

Budget Revision and Tolerance:

Any reallocation of the GCF grant among the outputs that result in a variation of more than [10%] (Please confirm in line with FAA requirements) of the GCF agreed budget for that output must be approved by the GCF in advance.

Any increase in the amount allocated to project management costs must be communicated by the Accredited Entity to the Fund and approved in writing by the Fund in advance.

[Above two paragraphs are standard text following the FAA. Below paragraph is additional if required as project-specific text in the FAA. Remove if not applicable.]

[Any reallocation of the GCF Proceeds allocated to Activity X.X, resulting in variation of more than ten percent (10%) of the previously agreed Budget for such Activity X.X, must be approved in writing by the Fund in advance.]

Any budget reallocation involving a major change in the project’s scope, structure, design, or objectives or any other change that substantially alters the purpose or benefit of the project requires UNDP BPPS internal review/clearance and the GCF’s prior written consent. All minor and major changes shall be duly documented in a Note to File and submitted to BPPS for prior to their implementation.

As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-BPPS team.

UNDP is not in a position to increase the total budget above the amount approved by the donor, therefore any over-expenditure would have to be absorbed from non-GCF resources by the Implementing Partner (GCF Executing Entity).

Project Specific Conditions: The Implementing Partner hereby expressly agrees, and shall ensure that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document agrees, to comply with the Project Specific Conditions, Representation, Warranties and Covenants, in each case as set out in Annex A of this Project Document. Non-compliance with these Project Specific Conditions, Representations, Warranties and Covenants shall be deemed to constitute a breach by the Implementing Partner of its obligations under this Project Document.

Project extensions**:** Any project milestones with deadlines indicated in the signed FAA (including GCF closing date and completion date) **cannot be extended unless through a formal extension request submitted and approved by the GCF** as per the [GCF policy on cancellation and restructuring.](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.greenclimate.fund%2Fsites%2Fdefault%2Ffiles%2Fdocument%2Fpolicy-restructuring-cancellation.pdf&data=05%7C01%7Cisabella.muthoni%40undp.org%7Cd6a7f943932c44aa5afc08daf2f2b87a%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C638089421526371316%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=A0jOrL2ZVHnpLIMGQSTnfVrpVGr0bqjLdtlAHiZhmjE%3D&reserved=0) The UNDP-BPPS Executive Coordinator must approve all requests for extension of the Project Completion & Closing Date and other milestone extensions with hard deadlines, before they are submitted to the GCF. All extensions impose additional time and cost burdens at all levels and the GCF project budget cannot be increased beyond its originally approved amount. Extensions are unfunded by the GCF and UNDP. A single extension may be granted **on an exceptional basis** and subject to the conditions and maximum durations set out in the UNDP POPP. The project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs shall be covered by non-GCF resources; the additional UNDP oversight costs during the extension period must be covered by non-GCF resources, in accordance UNDP’s policy as set out in UNDP POPP.

For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS Executive Coordinator shall consult the Regional Bureaux (RBX) and may reject the extension request if no external (non-GCF) financing by the IP or internal UNDP CO resources for the additional oversight cost of UNDP can be identified.

All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies in UNDP POPP.

**Audit**: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit

cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies. The costs for audit must be included under PMC. Do not remove any text from this audit section.

**Transfer or disposal of assets**: In consultation with the NIM Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project, however it **must be done before the operational closure date**. In all cases of transfer, a transfer document must be prepared and kept on file[[21]](#footnote-22). The transfer should be done before Project management Unit complete their assignments.

In addition, the following GCF requirements must be followed:   As stated in the Funding Activity Agreement (refer to the Annex for the relevant FAA clauses), the Accredited Entity shall inform the GCF, in the final Annual Progress Report (APR), which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.

**Closing Date (GCF term)**: The closing date is defined in the signed FAA to be the date which is [**XX**] years after the Effective Date (or such later date as the Fund shall establish by notice to the Accredited Entity), on which the Accredited Entity’s right to receive GCF Proceeds to the GCF Account in respect of the Funded Activity will have terminated. The project closure date is identified in the signed FAA.

**Project completion (GCF term)**: The project completion date is the date of FAA effectiveness plus project duration. This date can only be extended through a formal extension request to the GCF Secretariat. Prior to the completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

Project completion will be conducted as per UNDP requirements outlined in the UNDP POPP and in accordance with the GCF-approved and agreed Project Calendar/Milestones in the FAA, as follows:

*Please include Project Calendar/Milestones (FAA Schedule 4, Para B) here.*

**Project closure (UNDP term)**: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

* **Operational closure**: **Operational closure must happen 9 months after the Completion Date as per the deadlines set in the FAA**. Prior to operational closure, the Final Evaluation Report must have been submitted and the corresponding FER management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP (refer to **Transfer or disposal of assets** paragraph).
* **Financial** **closure**: **Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project is financially closed when the following conditions are met: a) project is operationally completed or has been canceled; b) Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-BPPS/VF Programme Support, Oversight and Compliance Hub for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

**Cancellation and Suspension:** All projects considering going through cancellation or suspension must follow UNDP and GCF requirements. Guidance can be found in the UNDP POPP ([SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator](file:////node/1796) and the [GCF policy on restructuring and cancellation](https://www.greenclimate.fund/sites/default/files/document/policy-restructuring-cancellation.pdf)).

**Refund to GCF**: Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-BPPS VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GCF. Unspent project balance is not permitted to be transferred to any other projects.

# Total Budget and Work Plan

***Guidance****:*

*This table* ***must be completed using a separate*** [***excel file***](https://intranet.undp.org/unit/bpps/sdev/gef/Templates/GCF%20TBWP%20template.xlsx?Web=1) *(click to see the excel template)* ***and then be copied here*** *(not as an object/picture).*

*All sub-totals and totals must tally. No decimals are allowed, ensure totals are not affected by round up from excel. All figures must be “numeric value” (copy from Excel budget Tables), not “text”.*

**Guidance on budget notes:**

1. *If there are additional funding under Section 1 of the Signature Page (only cash transferred to UNDP’s bank account), a separate TBWP for each specific funding would be added (as a separate Award would be created for this funding in Quantum).*
2. *If the project is a XX-size project, include USD 50,000 for independent lead consultant to undertake the mid-term review and USD 50,000 – 75,000 for independent lead consultant to undertake the terminal evaluation.*
3. *If the project is XX sized, include USD 50,000 – 75,000 for independent lead consultant to undertake terminal evaluation.*
4. *Include sufficient allocation to translate the mid-term review and terminal evaluation into English as appropriate*
5. *Budget for UNDP Support Services if requested by Government or Implementing partner – Staff/General Operating Expense (GOE) – include only when requested by the Implementing Partner and agreed by GCF during consultation. For budgeting purpose and to be transparent, the Expense Account must be used: “64397-Services to Projects-CO staff” and/or “74596-Service to Projects – GOE”. For requested programmatic/technical support services provided by UNDP existing staff, use regular staff budgetary account*. *The budgetary Account code to be used is “61100-Salary Costs – NP Staff” and “61300-Salary & Post Adj Cost-IP Staff”.*
6. *Include an estimated audit cost USD 5,000-10,000 a year (or other amount as provided by UNDP Country Office).*
7. *Include adequate budget for PMU staff including Project manager, Procurement Specialist, Finance Specialist, and project assistant, depending on needs of project activities, in line with GCF policy.*

***Taxation****: Please refer to the UNDP POPP guidance on* [*Payments and taxes*](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Award%20and%20Management%20of%20Contract_Payment%20and%20Taxes.docx&action=default&DefaultItemOpen=1) *and note that UNDP is* ***not*** *automatically exempt from indirect taxes. It is therefore of critical importance to assess the specific tax regime that applies to UNDP supported activities in the country where the project will be implemented to ascertain (A) whether UNDP will be exempt from indirect taxes related to procurement of goods and services, (B) whether and how indirect taxes will be restituted/reimbursed by the host country, (C) whether there are risks that the tax regime may be subject to changes in law during the duration of project implementation. As a general rule, it is advised to assume that procurements of goods and services will be subject to indirect taxes and that these are therefore included in the project budget, provided that any subsequent indirect taxes subsequently recovered will then be refunded to the donor.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Total Budget and Work Plan** | | | |
| **PIMS ID** |  | **Quantum Business Unit** |  |
| **Quantum Project ID** |  | **Quantum Project Title** |  |
| **Quantum Award ID** |  | **Quantum Award Title** |  |
| **Implementing Partner** |  | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Total Budget and Work Plan** | | | |  |  |  |  |  |  |  |  |  |
| **PIMS ID** |  | Quantum Business Unit |  |  |  |  |  |  |  |  |  |  |
| Quantum Project ID |  | Quantum Project Title |  |  |  |  |  |  |  |  |  |  |
| Quantum Award ID |  | Quantum Award Title |  |  |  |  |  |  |  |  |  |  |
| Implementing Partner |  | | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Quantum Outcome (GCF Component)** | **Quantum Activity (GCF Outcome)** | **Quantum Activity (GCF Activity)** | **Quantum Responsible Party (UNDP, IP, or Responsible Party )** | **Quantum Fund ID** | **Quantum Donor ID** | **Quantum Budgetary Account Code** | **Quantum Budget Account Description** | **Amount Year *{please enter calendar year}* (USD)** | **Amount Year *{please enter calendar year}* (USD)** | ***Add additional columns as needed*** | **Total (USD)** | **See Budget Note: *(reference as number, not as letter)*** |
| *Component 1 (It is the Project GCF)* | *Outcome 1.1 (as per Budget approved by GCF)* | *Activity 1.1.1 (as per Budget approved by GCF)* | *Responsible Party A* | *66000* | *012526* | *71200* | *International Consultants* | $ | $ | $ | $ | 1 |
| *71400* | *Contractual Services - Individuals* | $ | $ | $ | $ | 2 |
| *71600* | *Travel* | $ | $ | $ | $ | 3 |
| *72100* | *Contractual Services - Companies* | $ | $ | $ | $ | 4 |
| *72400* | *Communic & Audio Visual Equip* | $ | $ | $ | $ | … |
| *…* | *etc.* | $ | $ | $ | $ |  |
| *Total Responsible Party A* | | | | | $ | $ | $ | $ |  |
| *… add Responsible Party(ies) as required* | *66000* | *012526* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party …* | | | | | $ | $ | $ | $ |  |
| *Total Activity 1.1.1* | | | | | | $ | $ | $ | $ |  |
| *Activity 1.1.2 (as per Budget approved by GCF)* | *Responsible Party A* | *66000* | *012526* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party A* | | | | | $ | $ | $ | $ |  |
| *… add Responsible Party(ies) as required* | *66000* | *012526* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party B* | | | | | $ | $ | $ | $ |  |
| *Total Activity 1.2.1* | | | | | | $ | $ | $ | $ |  |
| *Total Outcome 1.1* | | | | | | | $ | $ | $ | $ |  |
| *Add Outcome(s) as required (as per Budget approved by GCF)* | *Add Activity(s) as required (as per Budget approved by GCF)* | *… add Responsible Party(ies) as required* | *66000* | *012526* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party* | | | | | $ | $ | $ | $ |  |
| *Total Activity 1.2.1* | | | | | | $ | $ | $ | $ |  |
| *Total Outcome 1.2* | | | | | | | $ | $ | $ | $ |  |
| *Total Component 1* | | | | | | | | $ | $ | $ | $ |  |
| *Project Management Cost (PMC)* | *PMC* | *PMC* | *Add Responsible Party(ies) as required - follow structure above* | *66000* | *012526* | *71200* | *International Consultants* | $ | $ | $ | $ | … |
| *71300* | *Local Consultants* | $ | $ | $ | $ |  |
| *71600* | *Travel* | $ | $ | $ | $ |  |
| *72500* | *Supplies* | $ | $ | $ | $ |  |
| *71400* | *Professional Services* | $ | $ | $ | $ |  |
| *64397* | *Services to projects - CO staff* | $ | $ | $ | $ |  |
| *74596* | *Services to projects - GOE for CO* | $ | $ | $ | $ |  |
| *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party …* | | | | | $ | $ | $ | $ |  |
| *Total Project Management Cost* | | | | | | | | $ | $ | $ | $ |  |
| *Total Project Grant* | | | | | | | | $ | $ | $ | $ |  |

Budget notes.

***Guidance:*** *Do not create additional columns for any other data than the included in the Budget Notes template*

|  |  |
| --- | --- |
| **Budget Note No.** | **Budget Notes (Description)** |
| **1** | Budget note should be output based rather than input based. Even for individual consultants’ outputs of the consultants must be clear. Include cost breakdown and calculation basis (e.g. daily fee and number of days/weeks, unit cost and number), as well as a total amount for the budget line. |
| **2** |  |
| **…** |  |

# Legal Context

*Guidance:*

*Choose one of the following options. Delete the options not selected****. Do not amend/edit or in any other way change the standard text below****. Any changes/amendments/notes will need to be approved by the UNDP Legal Office before submission to the GCF, which could lead to serious delays and consequently the automatic cancellation of the project by the GCF. These sections are mandatory, cannot be edited, and are critical to UNDP’s compliance with UNDP and GCF policies.*

**Option a. Where the country has signed the** [**Standard Basic Assistance Agreement (SBAA)**](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

**Option b. Where the country has NOT signed the** [**Standard Basic Assistance Agreement (SBAA)**](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf)

The project document shall be the instrument envisaged and defined in the [Supplemental Provisions](https://intranet.undp.org/global/documents/ppm/Supplemental.pdf) to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

**Option c. For Global and Regional Projects**

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the [Supplemental Provisions](https://intranet.undp.org/global/documents/ppm/Supplemental.pdf) to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

# Risk Management

*Guidance: Select one of the following options that corresponds to the implementation modability of the Project. Delete the options not selected****. Do not edit or in any other way change the standard text below unless the text requires it****. Please keep the section with the established clause numbers. Any changes/amendments/notes will need to be approved by the UNDP Legal Office before submission to the GCF which could lead to serious delays and consequently the automatic cancellation of the project by the GCF. These sections are mandatory, cannot be edited, and are critical to UNDP’s compliance with UNDP and GCF policies.*

**Option a. Implementing Partner is a Government Entity (NIM)**

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
2. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
3. assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
4. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.
5. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.
6. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

1. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
   1. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
   2. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
   3. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
   4. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
   5. Promptly and confidentially, record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
2. The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds.
7. In the implementation of the activities under this Project Document, UNDP places reasonable reliance upon the Implementing Partner for it to apply its laws, regulations and processes, and applicable international laws regarding anti money laundering and countering the financing of terrorism, to ensure consistency with the principles of then in force the UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy.
8. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
9. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
10. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP’s regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner’s (and its consultants’, responsible parties’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
11. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, credible allegation of fraud or corruption or other financial irregularities with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

1. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner’s obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner or the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

1. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
3. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

**Option b. UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][[22]](#footnote-23) [UNDP funds received pursuant to the Project Document][[23]](#footnote-24) are used to provide support to individuals or entities associated with terrorism, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
   1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
      2. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
   2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
   3. Each responsible party, subcontractor and sub-recipient (each a “sub-party” and together “sub-parties”) acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

* 1. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

(i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

(ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;

(iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

(v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

* 1. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
  2. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
  3. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
  4. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a)UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c)UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
  5. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
  6. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption or other financial irregularities with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

* 1. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party’s, subcontractor’s or sub-recipient’s obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

* 1. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
  2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
  3. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

**Option c. CSO/NGO/Non-UN or other IGO with no signed SBEAA with UNDP**

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
2. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
3. assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
4. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document and the Project Cooperation Agreement between UNDP and the Implementing Partner.
5. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Sanctions Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Sanctions Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.
6. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

1. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities) and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will, and will require that such sub-parties will take all appropriate measures to:
   1. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
   2. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4, have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and such sub-parties may use the training material available at UNDP;
   3. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
   4. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
   5. Promptly and confidentially, record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

1. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
2. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
3. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
4. UNDP is committed to the highest ethical standards and will not tolerate the diversion of the resources entrusted to it through Money Laundering or Terrorist Financing and will not partner with entities that tolerate the diversion of resources through Money Laundering or Terrorist Financing. To that effect, the Implementing Partner represents and warrants that it has not, and it shall not, at any time in the implementation of the Project engage in Terrorism Financing or Money Laundering. The Implementing Partner shall communicate the restriction of this paragraph to its and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Documents and shall take all reasonable measures to ensure that such persons do not engage in Terrorism Financing or Money Laundering.
5. The Implementing Partner shall immediately disclose to UNDP any actual, apparent, potential or attempted Terrorism Financing or Money Laundering activity that it becomes aware of. The Implementing Partner shall fully cooperate with any investigation or review of Terrorism Financing or Money Laundering activity by UNDP.
6. The Implementing Partner acknowledges and agrees that Terrorism Financing or Money Laundering constitute financial irregularities and that if the Implementing Partner or any of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document engages in Terrorism Financing or Money Laundering activity that would constitute a material breach of this Project Document, which entitles UNDP to immediately terminate the Project without incurring any liability or penalty.
7. Furthermore, the Implementing Partner expressly acknowledges and agrees that, in the event that UNDP were to determine through an investigation or otherwise that Terrorism Financing or Money Laundering occurred, UNDP shall have, in addition to its right to immediately terminate the Project, the rights to:
8. apply and enforce the relevant sanctions in accordance with UNDP internal regulations, rules, procedures, practices, policies and guidelines, including referral of the matter to national authorities when appropriate; and
9. recover all losses, financial or otherwise, suffered by UNDP in connection with such Terrorism Financing or Money Laundering activity.
10. For the purpose of this Project Document the following terms shall have the definition ascribed to the below:
11. “Money Laundering” is generally considered as concealment of the origins of money obtained illegally, typically by passing it through a complex sequence of financial or commercial transactions. ML usually involves three stages: (i) introducing the proceeds of crime into the financial system (placement); (ii) transactions to convert or transfer the funds to other locations or financial institutions (layering); and (iii) reintroducing the funds into the legitimate economy as "clean" money and investing it in various assets or business ventures (reintegration) appearing to have been legally obtained. The FATF recommends that ML be criminalized by every country on the basis of article 3(1)(b) and (c) of the Vienna Convention and article 6(1) of the Palermo Convention.
12. “Terrorist Financing” means providing support to individuals or entities that appear on the United Nations Security Council Consolidated Sanctions List accessible at <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.
13. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
14. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a)UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
15. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP programmes and projects in accordance with UNDP regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner’s (and its consultants’, responsible parties’, subcontractors‘ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
16. The Implementing Partner will promptly inform UNDP in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption or other financial irregularity with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

1. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner’s obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with the Implementing Partner, responsible parties, subcontractors and sub-recipients.

1. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
3. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management Standard Clauses” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

**Option d. UN Agency other than UNDP, and IGO with signed SBEAA with UNDP**

1. [Name of UN Agency/IGO] as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. In the implementation of the activities under this Project Document, [Name of UN Agency/IGO] as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures. The Implementing Partner will ensure that its regulations, rules, policies and procedures are consistent with the principles of UNDP relating to SEA and SH requirements. Notwithstanding the foregoing, the [Name of UN Agency/IGO], as the Implementing Partner, will notify UNDP of any such allegations and investigations it may conduct further to such allegations.
3. [Name of UN Agency/IGO] as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:
   1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of [Name of UN Agency/IGO]’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
      2. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
   2. [Name of UN Agency/IGO] reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
   3. In the performance of the activities under this Project, [Name of UN Agency/IGO] as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or handle SEA and SH.
4. [Name of UN Agency/IGO] agrees to undertake all reasonable efforts to ensure that none of the [project funds][[24]](#footnote-25) [UNDP funds received pursuant to the Project Document][[25]](#footnote-26) are used to provide support to individuals or entities associated with terrorism, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Sanctions Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Sanctions Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.
5. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
6. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
7. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
8. In the implementation of the activities under this Project Document, [Name of UN Agency/IGO] as the Implementing Partner will ensure that its regulations, rules, policies and procedures are consistent with the principles of then in force UNDP’s Anti-Money Laundering and Countering the Financing of Terrorism Policy.
9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
10. [*This text should be included when the Implementing Partner is a non-UN IGO*: The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).]
11. [*This text should be included when the Implementing Partner is a non-UN IGO*: In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects or programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner’s (and its consultants’, responsible parties’, subcontractors‘ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.]
12. The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

1. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner’s obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note: The* term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

1. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
3. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management Standard Clauses” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

**Special Clauses***.* In case of government cost-sharing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.
2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.
3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
5. All financial accounts and statements shall be expressed in United States dollars.
6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.
7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph 6 above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

1. […%] cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
2. Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.
3. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
4. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.”

# Mandatory Annexes

*The following Annexes must be included within this Project Document and not as separate documents.*

Annex A: GCF Specific Conditions, Representations, Warranties and Covenants

Annex B: GCF Board-approved Funding Proposal

Annex C: Letter of agreement between the Implementing Partner and Responsible Parties

Annex D: Co-financing commitment letters of co-financing (from the project design stage)

Annex E: Timetable of project implementation

Annex F: Procurement plan

Annex G: Terms of References for Project Board and Project Team

Annex H: UNDP Social and Environmental Screening Procedure (SESP) (to be completed in UNDP Quantum+ and the printout to be attached to the project document)

Annex I: Environmental and Social Management Plan or Framework (ESMP or ESMF), as relevant

Annex J: Stakeholder Engagement Plan (including summary of consultations)

Annex K: Gender Analysis and Action Plan

Annex L: UNDP Risk Register

Annex M: Letter of Agreement with the government in case UNDP Support Service Costs are applied

Annex N: HACT micro assessment and Partner Capacity Assessment Tool (PCAT)

Annex O: Additional agreements: Including cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”), letters of financial commitments

Annex P: UNDP Project Quality Assurance Report (to be completed in UNDP Quantum+ and the printout to be attached to the project document)

Annex Q: Monitoring Activity Table

Annex R: On-Granting Provisions Applicable to the Implementing Partner

Annex S: Other annexes included in the Funding Proposal annex package approved by the GCF Board (to the extent that they are not confidential as indicated in the disclosure form submitted to the GCF)

## Annex A: GCF Specific Conditions, Representation, Warranties and Covenants

(i) The Implementing Partner hereby expressly agrees, and shall ensure that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document agrees, to comply with the following Project Specific Conditions:

[**Guidance**: Please include all project specific terms and conditions which relate to the Funded Activity, as stipulated in the Term Sheet and the FAA, in case as required to be agreed on a full back-to-back basis between UNDP and the Implementing partner]

(ii) The Implementing Partner hereby expressly represents and warrants, and shall ensure, where applicable, that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document represents and warrants, that:

[**Guidance**: Please include all project specific representations and warranties which relate to the Funded Activity, as stipulated in the Term Sheet and the FAA, in case as required to be agreed on a full back-to-back basis between UNDP and the Implementing partner]

(iii) The Implementing Partner hereby expressly covenants, and shall ensure, where applicable, that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document covenants, that:

[**Guidance**: Please include all project specific covenants which relate to the Funded Activity, as stipulated in the Term Sheet and the FAA, in case as required to be agreed on a full back-to-back basis between UNDP and the Implementing partner]

The Implementing Partner agrees that any non-compliance of the Project Specific Conditions under item (i), representation and warranties provided under item (ii) and/or the covenants set out in item (iii) above shall be deemed a breach of the obligations of the Implementing Partner under this Project Document.

## Annex B: GCF Board-approved Funding Proposal

(This can be a link to the approved proposal on the GCF website)

## Annex C: Letter of agreement between the Implementing Partner and Responsible Parties

## Annex D: Co-financing commitment letters of co-financing (from the project design stage)

## Annex E: Timetable of project implementation

## Annex F: Procurement plan

## Annex G: Terms of References for Project Board and Project Team

**Guidance**: The following template includes example text to help guide the completion of this Annex for the project in question.

**Terms of Reference of Techncial Services to be provided by UNDP:**

* *These staff costs cannot include any oversight functions as this would duplicate GCF implementation functions paid by the GCF Fee.*
* *All technical services must be specified and known and cannot refer to anticipated or expected technical support services.*
* *The qualifications necessary to undertake these technical services must be included in the TOR.*
* *The UNDP-BPPS RTA and the PTA must approve the technical services included in the TOR (and the qualifications). The RTA and the PTA have the full authority to edit, revise, and/or refuse the technical services if they are contrary to GCF policy.*

**Terms of Reference for Key Project Staff**

**Project Manager**

Background

The Project Manager (PM) will be appointed by the project implementing partner. The PM will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors.

Duties and Responsibilities

* Manage the overall conduct of the project.
* Plan the activities of the project and monitor progress against the approved workplan.
* Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors’ work.
* Monitor events as determined in the project monitoring plan, and update the plan as required.
* Provide support for completion of assessments required by UNDP, spot checks and audits.
* Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.
* Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
* Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.
* Ensure that changes are controlled, and problems addressed.
* Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.
* Prepare and submit financial reports to UNDP on a quarterly basis.
* Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
* Capture lessons learned during project implementation.
* Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.
* Prepare the inception report no later than one month after the inception workshop.
* Ensure that the indicators included in the project results framework are monitored annually in advance of the GCF APR submission deadline so that progress can be reported in the GCF APR.
* Prepare the GCF APR;
* Assess major and minor amendments to the project within the parameters set by UNDP-BPPS/VF Programme Support, Oversight and Compliance Hub;
* Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;
* Monitor and track progress against the GCF Core indicators.
* Support the Mid-term review and Terminal Evaluation process.

Required skills and expertise

* A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
* At least 5 years of demonstrable project/programme management experience.
* At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

Competencies

* Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
* Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
* Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
* Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
* Strong drafting, presentation and reporting skills.
* Strong communication skills, especially in timely and accurate responses to emails.
* Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
* Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
* Excellent command of English and local languages.

**Project Monitoring and Evaluation Officer**

Under the overall supervision and guidance of the Project Manager, the M&E Officer will have the responsibility for project monitoring and evaluation. The M&E Officer will work closely with the Communications Officer on knowledge management aspects of the project. Specific responsibilities will include:

* Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;
* Ensure project’s M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-BPPS/ VF Programme Support, Oversight and Compliance Hub; develop project-specific M&E tools as necessary;
* Oversee and ensure the implementation of the project’s M&E plan, including periodic appraisal of the Project’s Theory of Change and Results Framework with reference to actual and potential project progress and results;
* Oversee/develop/coordinate the implementation of the stakeholder engagement plan;
* Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
* Facilitate mid-term and terminal evaluations of the project; including management responses;
* Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;
* Support project site M&E and learning missions;
* Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.

The Project M&E Officer will be recruited based on the following qualifications

* Masters degree, preferably in the field of environmental or natural resources management;
* At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
* Significant experience in collating, analyzing and writing up results for reporting purposes;
* Very good knowledge of results-based management and project cycle management, particularly with regards to M&E approach and methods. Formal training in RBM/ PCM will be a definite asset;
* Knowledge and working experience of the application of gender mainstreaming in international projects;
* Understanding of biodiversity conservation, law enforcement, sustainable livelihoods and associated issues;
* Very good inter-personal skills;
* Proficiency in computer application and information technology.
* Excellent language skills in English (writing, speaking and reading) and in local languages.

**Project Gender Officer**

Under the overall supervision and guidance of the Project Manager, the Gender Officer will have the responsibility for the implementation of the Gender Action Plan. The Gender Officer will work closely with the M&E Officer, Safeguards Officer and Communications Officers on related aspects of project implementation, reporting, monitoring, evaluation and communication. Specific responsibilities will include:

* Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met, and the reporting requirements are fulfilled;
* Oversee/develop/coordinate implementation of all gender-related work;
* Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary;
* Work with the M&E officer and Safeguards Officer to ensure reporting, monitoring and evaluation fully address the gender issues of the project;

The Project Gender Officer will be recruited based on the following qualifications:

* Master’s degree in gender studies, gender and development, environment, sustainable development or closely related area.
* Demonstrated understanding of issues related to gender and sustainable development; at least 5 years of practical working experience in gender mainstreaming, women’s empowerment and sustainable development in relevant Country/Region/Area of Work;
* Proven experience in gender issues in Country/Region/Area of Work
* Previous experience with UN projects will be a definite asset;
* Demonstrated understanding of the links between sustainable development, social and gender issues;
* Experience in gender responsive capacity building;
* Experience with project development and results-based management methodologies is highly desired/required;
* Excellent analytical, writing, advocacy, presentation, and communications skills.
* Excellent language skills in English (writing, speaking and reading) and in local languages.

**Project Safeguards Officer**

Under the overall supervision and guidance of the Project Manager, the Environmental and Social Safeguards Officer will have the responsibility for the implementation of the project’s environmental and social management plan/framework, other SES instruments, and overall compliance with the UNDP SES policy and other applicable legal and institutional frameworks (including national law). The Safeguards Officer will work closely with the M&E Officer, Gender Officer and others on related aspects of project reporting, monitoring, evaluation and communication. Specific responsibilities will include:

* Monitor progress in development/implementation of the project ESMP/ESMF ensuring that UNDPs SES policy is fully met, and the reporting requirements are fulfilled, including those in the project’s FAA;
* Manage/develop/coordinate all SES-related plans and their implementation;
* Ensure that social and environmental grievances are managed effectively and transparently through the project’s GRM and in line with UNDP SES policy;
* Validate and, as needed, update the project’s SESP at appropriate intervals, and update other SES instruments as necessary and in line with the FAA;
* Ensure full disclosure of SES instruments with concerned stakeholders, in line with UNDP SES policy;
* Ensure environmental and social risks are identified, avoided, mitigated and managed throughout project implementation;
* Work with the M&E officer to ensure reporting, monitoring and evaluation encompasses the project’s safeguards, including reporting to UNDP as appropriate;

The Project Safeguards Officer will be recruited based on the following qualifications:

* A Bachelor’s degree, preferably in the field most relevant to the project’s main areas of social/environmental risk;
* At least three years of relevant work experience of safeguards for project or programme implementation, ideally involving international donors.
* Very good inter-personal skills and high level of professional integrity
* Proficiency in computer application and information technology.
* Excellent language skills in English (writing, speaking and reading) and in local languages.

**Project Assistant**

Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:

* Assist the Project Manager in day-to-day management and oversight of project activities;
* Assist the M&E officer in matters related to M&E and knowledge resources management;
* Assist in the preparation of progress reports;
* Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;
* Provide PMU-related administrative and logistical assistance.

The Project Assistant will be recruited based on the following qualifications:

* A Bachelors degree or an equivalent qualification;
* At least three years of work experience preferably in a project involving biodiversity conservation, natural resource management and/or sustainable livelihoods. Previous experience with UN project will be a definite asset;
* Very good inter-personal skills;
* Proficiency in the use of computer software applications especially MS Word and MS Excel.
* Excellent language skills in English (writing, speaking and reading) and in local languages

**Project Accountant/Finance Assistant/Finance officer**

Under the guidance and supervision of the Project Manager, the Project Accountant will have the following specific responsibilities:

* Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;
* Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;
* Validate and certify FACE forms before submission to UNDP;
* Provide necessary financial information as and when required for project management decisions;
* Provide necessary financial information during project audit(s);
* Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;
* Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;
* Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

The Project Accountant will be recruited based on the following qualifications:

* A Bachelors degree or an advanced diploma in accounting/ financial management;
* At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UNDP or UN project will be a definite asset;
* Proficiency in the use of computer software applications particularly MS Excel;
* Excellent language skills in English (writing, speaking and reading) and in local languages.

**Project Communications Officer**

Under the overall supervision and guidance of the Project Manager, the Communications Officer will have the responsibility for leading knowledge management outputs in Component 4 and developing the project communications strategy at the project outset and coordinating its implementation across all project components. The Communications Officer will work closely with the M&E Officer on knowledge management aspects of the project. Specific responsibilities will include:

* Develop a project communications strategy / plan, incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation
* Coordinate the implementation of knowledge management outputs of the project;
* Coordinate and oversee the implementation of public awareness activities across all project components;
* Facilitate the design and maintenance of the project website/webpages and ensure it is up-to-date and dynamic;
* Facilitate learning and sharing of knowledge and experiences relevant to the project;

The Project Communications Officer will be recruited based on the following qualifications:

* A Bachelors degree, preferably in the field of community development or natural resource / environmental management;
* A communications qualification (Diploma, Bachelors degree)
* At least three years of relevant work experience of communications for project or programme implementation, ideally involving international donors. Previous experience with UN projects will be a definite asset;
* Previous experience in developing and implementing communications strategies for organizations or projects
* Strong professional working capacity to use information and communications technology, specifically including website design and desk top publishing software
* Understanding of illegal wildlife trade, biodiversity conservation, sustainable livelihoods and associated issues;
* Very good inter-personal skills
* Excellent language skills in English (writing, speaking and reading) and in local languages

## Annex H: UNDP Social and Environmental Screening Procedure (SESP) (to be completed in UNDP Quantum+ and the printout to be attached to the project document)

## Annex I: Environmental and Social Management Plan or Framework (ESMP or ESMF) as relevant

## Annex J: Stakeholder Engagement Plan

***Guidance****: The scope and details of the Stakeholder Engagement Plan will vary according to the nature of the project, the number of stakeholders and the potential impact of the project and its risks.*

*The Stakeholder Engagement Plan must include the following minimum elements and must be publicly available in a form and language appropriate to the relevant stakeholders and disseminated proactively to them:*

* *Public engagement undertaken during project development*
* *The stakeholders, their relevant interests, and why they are included*
* *The steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination*
* *Roles and responsibilities for implementation of the Plan*
* *The timing of the engagement throughout the project cycle*
* *The budget for stakeholder engagement throughout the project cycle and, where applicable, for related capacity-building to support this engagement*
* *Key indicators of stakeholder engagement during project implementation, and steps that will be taken to monitor and report on progress and issues that arise*

## Annex K: Gender Analysis and Action Plan

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Gender Action Plan Template with Examples** | | | | | | |
| *Project-level outcome (e.g. Systems and capacity for effective climate adaptation established) [note: align the gender-related activities with project-level outcomes, as relevant. Please also include an activity line for hiring the Project Gender Officer, as relevant]* | | | | | | |
| **Gender-related activities** | **Indicator** | **Target [note: progress must be reported annually to GCF on the status of all targets in the GAP]** | **Baseline** | **Budget (including currency)** | **Timeline** | **Responsibility** |
| *e.g. Establishment of water basin management committee with participation of women, poor and excluded in both leadership and non-leadership (staff) positions* | *e.g. Committee established that includes women and members of the diverse communities of the basin* | *e.g. 40% of committee members women; 15% from diverse communities of the basin; women make up 40% of leadership positions* | *e.g. No existing water basin committee* | *e.g. % of budget or total estimated amount* | *e.g. years 1 and 2* | *e.g. Ministry of Natural Resources* |
| *E.g. Conduct capacity-building activities to develop tools, emphasizing the capacity needs and priorities of women.* | *e.g. # of capacity building activities developed integrating priorities and needs of women* | *e.g.5 workshops developed that fully integrate the priorities and needs of women* | *e.g. 0 capacity building tools* | *e.g. % of budget or total estimated amount* | *e.g. years 2 and 3* | *e.g. Project Gender Specialist* |
| ***Total budget allocation (% or amount):*** | | | | |  |  |

## 

## Annex L: UNDP Risk Register

*Complete the table below. Please refer to the* [*UNDP Enterprise Risk Management guide*](https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/AC_Accountability_Enterprise%20Risk%20Management%20Policy%20(2016).pdf) *for further information.*

|  |  |  |
| --- | --- | --- |
| **Project Title:** | **Project Number:** | **Date: Click or tap to enter a date.** |

| **#** | **Event** | **Cause** | **Impact(s)** | **Risk Category and Sub-category** *(including Risk Appetite)* | **Impact, Likelihood & Risk Level**  *(see Annex 3 Risk Matrix)* | **Risk Valid From/To** | **Risk Owner**  *(individual accountable for managing the risk)* | **Risk Treatment and Treatment Owner** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 1.1: …  Risk Treatment Owner: … |
| Risk Treatment 1.2: …  Risk Treatment Owner: … |
| Risk Treatment 1.3: …  Risk Treatment Owner: … |
| 2 | There is a risk that … | As a result of … | Which will impact in … | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 2.1: …  Risk Treatment Owner: … |
| Risk Treatment 2.2: …  Risk Treatment Owner: … |
| Risk Treatment 2.3: …  Risk Treatment Owner: … |
| 3 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 3.1: …  Risk Treatment Owner: … |
| Risk Treatment 3.2: …  Risk Treatment Owner: … |
| Risk Treatment 3.3: …  Risk Treatment Owner: … |
| 4 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 4.1: …  Risk Treatment Owner: … |
| Risk Treatment 4.2: …  Risk Treatment Owner: … |
| Risk Treatment 4.3: …  Risk Treatment Owner: … |
| 5 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 5.1: …  Risk Treatment Owner: … |
| Risk Treatment 5.2: …  Risk Treatment Owner: … |
| Risk Treatment 5.3: …  Risk Treatment Owner: … |
| 6 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 6.1: …  Risk Treatment Owner: … |
| Risk Treatment 6.2: …  Risk Treatment Owner: … |
| Risk Treatment 6.3: …  Risk Treatment Owner: … |
| 7 | There is a risk that … | As a result of … | Which will impact in… | **PLEASE SELECT** | Likelihood:  **PLEASE SELECT**  Impact:  **PLEASE SELECT**  Risk level:  **PLEASE SELECT** | From: **Click or tap to enter a date.**  To: **Click or tap to enter a date.** | … | Risk Treatment 7.1: …  Risk Treatment Owner: … |
| Risk Treatment 7.2: …  Risk Treatment Owner: … |
| Risk Treatment 7.3: …  Risk Treatment Owner: … |

## 

## Annex M: Letter of Agreement with the government in case UNDP Support Service Costs are applied

## Annex N: HACT micro assessment and Partner Capacity Assessment Tool (PCAT)

## **Annex O:** Additional agreements

## Annex P: UNDP Project Quality Assurance Report (to be completed in UNDP Quantum+ and the printout to be attached to the project document)

## Annex Q: Monitoring Activity Table

Please fill in this table based on the M&E Plan from the project design stage (i.e. the plan submitted to the GCF prior to approval by its Board.)

| **Monitoring Activity** | **Indicators** | **Targets** | **Description of indicators and targets** | **Data source/Collection Methods[[26]](#footnote-27)** | **Frequency** | **Responsible for data collection** |
| --- | --- | --- | --- | --- | --- | --- |
| **Fund Level Impact from the results framework** | ***Indicator 1***  *Copy from results framework* | *Split out midterm and end of project targets as needed.* | *Describe the indicator and detail how the target values were derived.* | *List the source of the baseline data and targets and explain how this data was collected and how it should be collected during project implementation. Detail which methodology should be used (e.g. GCF GHG measurement methodology).* | Annually  Reported in the GCF APR | *For example, National Office of Statistics; UNDP Country Office;*  *Project consultant* |
| ***Indicator 2*** |  |  |  |  |  |
| ***Indicator 3*** |  |  |  |  |  |
| ***Indicator 4*** |  |  |  |  |  |
| ***Indicator 5*** |  |  |  |  |  |
| **Project Outcome 1** | ***Indicator 6*** |  |  |  |  |  |
| ***Indicator 7*** |  |  |  |  |  |
| **Project Outcome 2** | ***Indicator 8*** |  |  |  |  |  |
| ***Indicator 9*** |  |  |  |  |  |
| **Project Outcome 3** | ***Indicator 10*** |  |  |  |  |  |
| ***Indicator 11*** |  |  |  |  |  |
| **Project Results (Outputs) 1** | ***Indicator 12*** |  |  |  |  |  |
| ***Indicator 13*** |  |  |  |  |  |
| **Project Results (Outputs) 2** | ***Indicator 14*** |  |  |  |  |  |
| ***Indicator 15*** |  |  |  |  |  |
| **Project Results (Outputs) 3** | ***Indicator 16*** |  |  |  |  |  |
| ***Indicator 17*** |  |  |  |  |  |

**Annex R: On-Granting Provisions Applicable to the Implementing Partner[[27]](#footnote-28)**

On-granting clauses for non-UNDP Implementing Partners can be found [here](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-3253).

## Annex [S]: Other annexes included in the Funding Proposal annex package approved by the GCF Board

(Only include Annexes to the extent that they are not confidential as indicated in the disclosure form submitted to the GCF)

1. Previously Direct Project Costs [↑](#footnote-ref-2)
2. The costs of any project cycle management services provided by UNDP must be paid exclusively from the Accredited Entity fee paid to UNDP and not from the GCF project budget. Project cycle management services are the quality assurance and oversight services involved with project start-up, project implementation and supervision, and project completion and evaluation. [↑](#footnote-ref-3)
3. [↑](#footnote-ref-4)
4. As these links may become inactive over time, please notify the BPPS Thematic Hub or VF Programme Support, Oversight and Compliance Hub if you notice an inactive link. [↑](#footnote-ref-5)
5. Note that this relates to co-financing that is not administered by UNDP, i.e. co-financing that is directly applied by the co-financing party in a capacity of IP or RP to implement certain activities set out in the Project Results Framework, Project Budget and Work Plan [↑](#footnote-ref-6)
6. Other evidence of government agreement may be accepted in lieu of a signature, unless the programme country government requires a signature. [↑](#footnote-ref-7)
7. Not required when UNDP is the implementing partner (i.e. DIM implementation modality). If a UN Agency is the implementing partner, and has signed a SBEAA with UNDP, then the Government Development Coordination Authority4, UNDP and UN Agency sign the project document. If an IGO is the implementing partner, and has signed a SBEAA with UNDP, then the Government Development Coordination Authority4, UNDP and IGO sign the project document, provided that the IGO shall provide documentary evidence that it has submitted the ProDoc to the relevant governments and has been duly authorized by the governments to execute the project document. If a CSO/NGO is the implementing partner, the Government Development Coordination Authority4 and UNDP sign the project document and attached it to the Project Cooperation Agreement to be signed by the CSO/NGO and UNDP. [↑](#footnote-ref-8)
8. For NIM projects this is the Resident Representative. For DIM projects in a single country this is the Resident Representative. For global, regional DIM projects this is UNDP-BPPS/VF Programme Support, Oversight and Compliance Hub . [↑](#footnote-ref-9)
9. *The analysis should include digital considerations. Please see the guideline “*[*Embedding Digital in Project Design*](https://rebrand.ly/DbDProjectGuideEN)*”.*  [↑](#footnote-ref-10)
10. [↑](#footnote-ref-11)
11. See <https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb> [↑](#footnote-ref-12)
12. <https://panorama.solutions/en> [↑](#footnote-ref-13)
13. *Please see the* [*Guideline “Embedding Digital in Project Design*](https://rebrand.ly/DbDProjectGuideEN)*”.* [↑](#footnote-ref-14)
14. See Schedule 4 of the Funded Activity Agreement [↑](#footnote-ref-15)
15. See Schedule 4 of the Funded Activity Agreement [↑](#footnote-ref-16)
16. Excluding project team staff time and UNDP staff time and travel expenses. [↑](#footnote-ref-17)
17. Or equivalent for regional or global project [↑](#footnote-ref-18)
18. The costs of UNDP Country Office and BPPS’s participation and time are charged to the GCF Agency Fee. [↑](#footnote-ref-19)
19. The costs of UNDP Country Office and BPPS participation and time are charged to the GCF Agency Fee. [↑](#footnote-ref-20)
20. Or equivalent for regional or global project [↑](#footnote-ref-21)
21. See <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default>. [↑](#footnote-ref-22)
22. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-23)
23. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-24)
24. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-25)
25. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-26)
26. Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification. [↑](#footnote-ref-27)
27. Applicable for non-UNDP Implementing Partner as Grant Making Institution facilitating on-granting. [↑](#footnote-ref-28)