

**UNDP annotated Project Document**

**for projects financed by the various GEF Trust Funds**

Revised May 2023

UNDP personnel implementing projects that receive financing from the various [GEF Trust Funds](https://www.thegef.org/about/funding) must be familiar with GEF policies approved by the GEF Council and the LDCF/SCCF Counci**l.**

The UNDP-GEF project document template is based on the standard UNDP project document. Additional GEF-specific requirements have been added to ensure alignment with GEF policies. This combined UNDP-GEF project document template must be used for UNDP projects financed by the GEF Trust Fund, Least Developed Countries Fund (LDCF), and Special Climate Change Fund (SCCF). The UNDP-GEF project document template is also available in the POPP.

The UNDP-GEF project document template will be used for ALL GEF project types noting that some sections need to be amended as indicated throughout the template. This includes single-country projects, global and regional projects; DIM, NIM, CSO, and UN Agency executed projects and the following GEF project types: projects that the GEF categorizes as medium-sized (MSP) with a GEF grant of USD 2 million or less, full-sized (FSP) with a GEF grant above USD 2 million, and GEF Enabling Activities (EAs)

Projects financed by other vertical funds - such as the Green Climate Fund (GCF) – must use a different standard UNDP-GCF (not GEF) project document template also available in the POPP.

**Guidance:**

1. **Effectiveness date:** PIFs **approved as of 30 April 2023 must use** this UNDP-GEF GEF-8 project document template. For any GEF-7 projects approved before the date of effectiveness but for which no ProDoc has been agreed and signed, the updated clauses will need to be incorporated in the ProDoc to the extent still reasonably possible.
2. **GEF Cancellation Deadlines for projects approved as of 01 March 2019:** The UNDP-GEF project document, GEF CEO Endorsement request, and supporting documentation must be finalized in English and be submitted per the following deadlines, or the GEF will automatically cancel the project. See [GEF Cancellation Policy](https://www.thegef.org/sites/default/files/documents/Project_Cancellation_Policy_20181220.pdf) for additional details:

**FSP projects:**

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

**MSP projects:**

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

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

1. The deadline for submission to the BPPS NCE team for technical and financial clearance is **8 months** before the Program Commitment deadline included in the PFD.
2. The deadline for submission to the GEF is **6 months** before the Program Commitment deadline. If this deadline is not met, the project is automatically canceled by the GEF Secretariat.
3. The deadline for CEO endorsement is the Program Commitment deadline. If this deadline is not met, the project is automatically cancelled by the GEF Secretariat.
4. **Audience:** The GEF Council approved this project when the PIF was approved. The GEF Secretariat will review the CEO endorsement template, and project document for consistency with the approved PIF and compliance with GEF policies and recommend the project for CEO endorsement. Where feasible, avoid duplication between the UNDP-GEF project document and the GEF CEO Endorsement template.
5. **Be realistic and outcome-focused:** Be mindful of the high-level results that can realistically be achieved within the resource and time constraints allocated to this project, knowing that the project completion date can only be extended through a formal extension request. Extensions are highly discouraged by UNDP and the vertical funds. Extensions impose additional time, cost burdens at all levels, and GEF budgets cannot be increased beyond the originally approved amount. Projects can only be extended once for a maximum period of 12 months and only due to exceptional circumstances. For further details on requirements and processes, please refer to the guidance and policy in the UNDP POPP.
6. **Due diligence assessments early in the IP/PPG phase**: 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 very early in the project design phase if they were not already completed pre-PIF. All private sector co-financing partners must be assessed using the [private sector due diligence tool.](https://popp.undp.org/node/11056#?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 the project. Further information is available in the [UNDP POPP.](https://popp.undp.org/node/11526)

1. **UNDP Country Office Execution Support:** The [GEF Policies on Minimum Fiduciary Standards](https://www.thegef.org/sites/default/files/documents/gef_minimum_fiduciary_standards_partner_agencies_2019.pdf) require a separation of functions between project implementation (i.e., oversight) and project execution (which generally includes managing and administrating the day-to-day activities of projects in accordance with the legal agreements with the GEF). Oversight activities are the primary responsibility of the GEF Agency (i.e., UNDP). In contrast, the execution activities are the responsibility of the Executing Entity (i.e., the Implementing Partner and/or Responsible Party in UNDP terminology). While UNDP policy offers the possibility for UNDP to provide execution support to NIM or execute the project under a DIM modality in case there is a government request for such support, GEF policy only allows GEF Agencies to step into an execution role in ‘exceptional circumstances', which are assessed on a case-by-case basis.

Hence, whenever a project involves GEF funding, the exceptional circumstances where there is a clear and well-founded rationale for UNDP to perform certain execution functions **should always be well documented and** **transparently disclosed, discussed, and agreed upon with the GEF Secretariat at the project concept (PIF) stage before CEO Endorsement**, **regardless of whether the execution services are intended to be funded from the GEF grant or non-GEF resources**. This request to the GEF should include at least the following elements:

1. A clear, objective rationale for execution support, based on:
   1. an assessment of available capacities at the level of the IP;
   2. an explicit request from the partnering government to seek execution support services; and
   3. an assessment of potential alternative arrangements for execution support other than by UNDP (e.g., is there another IP who could implement the project and has adequate capacity to do so? Could third parties be identified in the geographical and thematic context of the project and who could supplement IP capacity needs? what would be the costs and benefits to the project if such third parties would be engaged? what would be required for such third parties to be engaged (due diligence, competitive selection, etc.)?
2. A clear plan within UNDP to functionally segregate project oversight duties and execution support services. This plan should be elaborated during project design. It should confirm satisfactory institutional arrangements to separate both functions, with clear lines of responsibilities, reporting, and accountability within UNDP. **This functional separation of duties should be clearly documented in this project document under Section VII – Governance and Management Arrangements.** See the latest [internal guidance on oversight services and execution support (Annex 1).](https://popp.undp.org/node/1456)

The following options may result from this discussion with the GEF Secretariat:

1. If GEF agrees with the request for execution support based on the rationale and institutional arrangements presented and agrees to have this covered from GEF resources, the project can proceed with the intended execution services and charge these to the project management cost budget; or
2. If GEF agrees that execution support is needed and justified based on the rational and institutional arrangements presented and agrees for UNDP to provide this support but does not agree to have the execution services covered by GEF resources, UNDP may only proceed with the intended execution support if other non-GEF sources can be identified to cover the costs of support (including IP co-financing, UNDP TRAC, etc.); or
3. If GEF disagrees with UNDP providing execution support, then UNDP will needs to look for alternative options or, if UNDP policies do not allow for the project to be executed on a full NIM basis (e.g. in case the IP is HACT assessed as High Risk), stop the project if no alternatives are available.

**The GEF Secretariat must approve UNDP support costs, which will only be approved on an exceptional basis.**

1. **Legal Terms and Conditions of the Project (as set out in the GEF CEO Endorsement Letter):** All legal terms, conditions, and commitments that have been agreed upon between UNDP and GEF in the GEF CEO Endorsement Letter and which pertain to the implementation of the project or which require contractual obligations from the Implementing Partner(s) to UNDP/GEF, 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(s)
2. **Construction Works:** As per the [Appraise and Approve policy](https://popp.undp.org/node/1896) 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/node/261) 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](https://popp.undp.org/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 GEF Agency is involved in implementing a single GEF project, only UNDP activities can be included in this ProDoc template**: While the CEO endorsement template covers the activities of all GEF Agencies involved in the implementation of a single GEF project, the UNDP-GEF project document shall only include the UNDP portion of the activities under the approved GEF PIF. This is not a joint GEF Agency project document template, and the activities to be undertaken by other GEF Agencies must be reflected in the respective Agency’s project document. UNDP cannot sign or use another GEF Agency’s project document template. This includes all non-UN GEF Agencies, including the CSO and IFI Agencies.

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

In addition, when more than one GEF Agency is involved in implementing a single GEF PIF, the GEF Agencies will need to agree on which single Agency will lead and use their policies and procedures for the following GEF M&E activities: GEF PIR, MTR, and TE (and associated GEF Core Indicators and METTs). If UNDP is to lead all GEF M&E activities, then the standard M&E plan of this UNDP-GEF Project document can remain as is. If UNDP is responsible for only some M&E activities, the M&E plan will need to be edited to only include the specific activities led by UNDP.

This project document template outlines the responsibilities of the Implementing Partner. If the approved GEF PIF is to be implemented by UNDP exclusively but then split among various IPs who will execute different project components, each IP must have one complete project document following this template (i.e., not sections of the template within one project document per IP).

1. **Co-financing activities with resources that do not flow through UNDP accounts** included in the UNDP GEF project document has implications for UNDP’s accountability and must be carefully considered. In sum:
   1. For co-financed activities included in the project results: UNDP is accountable for monitoring all project results, including results to be delivered by the co-financing activities, and **to ensure consistency with UNDP and GEF policies and procedures,** including social and environmental safeguards policies and requirements (SES).
   2. For co-financed activities not included in the project results: UNDP is accountable for monitoring the risk to the realization of co-financing and reporting on the realization of co-financing in the GEF PIRs, mid-term evaluation and terminal evaluation.

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)) when developing the UNDP GEF project document. Again, **the following guidance pertains only to co-financing that does not flow through UNDP’s accounts**; for co-financing that flows through UNDP’s account, all UNDP and GEF policies and procedures apply.

1. **Co-financed activities included as project results:** Only include co-financed activities as project results if all the following conditions can be met:

* The co-financed activities are essential to realizing the project objective.
* Co-financing commitments and legal obligations towards GEF 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 the given co-financing partners (including social and environmental safeguards) have been assessed through the 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(s) to confirm accountabilities (i.e., co-financing from the Implementing Partner or a Responsible Party would meet this condition).
* The co-financing letter (signed before the 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 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 the 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 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.
* Results achieved through co-financed activities will be monitored and reported in the annual GEF PIR, the independent mid-term review and the independent terminal evaluation.
* The amount of this co-financing will be included in the total lump sum of co-financing on the cover page of the UNDP GEF project document and will be broken down in the co-financing table in Section IV of this ProDoc template.

1. **Co-financed activities** **not included as project results**: Only present in the ProDoc if the below conditions can be met:

* The amount of this co-financing (“not included as project results”) will be included in the total lump sum of co-financing on the cover page of the UNDP GEF project document and will be broken down in the co-financing table in Section IV of this ProDoc template.
* These co-financed activities will be explained in the partnership narrative of the project document (see Section IV) and highlighted as co-financed activities. This will clarify how these co-financed activities support the overall results of the project and explain who will manage and monitor these activities.
* Potential risks associated with this co-financing (“not included as project results”) 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).
* Co-financed activities to be delivered by GEF Agencies financed with non-GEF resources that do not flow through UNDP accounts should be explained in the partnership narrative. The description of these co-financing activities must indicate that the policies and procedures of the GEF Agency apply to these co-financing activities, not UNDP policies and procedures.

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, and 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 GEF**. These actions may lead to serious delays and, consequently, the automatic cancellation of the project by the GEF. The text in these sections is a mandatory legal text, and these sections are critical to UNDP’s compliance with UNDP and GEF policies.
2. **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/node/1426) 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 [GEF RACI for NIM](https://popp.undp.org/node/1881) Projects, are actively engaged throughout the project cycle, normally contributes to enhancing the value of the project procurement plan, final TBWP, and project risk logs. As per the [Policy in the procurement section of the POPP](https://popp.undp.org/node/1426), the project and procurement personnel will proceed to develop a Procurement Plan in Quantum”.

[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](https://popp.undp.org/node/4141), **“UNDP is committed 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 GEF 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. **If a French or Spanish version of the UNDP-GEF project document will be signed by the Implementing Partner(s)**, the translated version of the project document must be cleared by the RTA before signature.
3. **‘Annotated’ means:**
4. Guidance is in italic text and highlighted in yellow. **Do not leave any text highlighted in yellow in the final draft submitted to UNDP-GEF for internal approval.**
5. Guidance highlighted in pink outlines sections that do not apply for some projects, including GEF Enabling Activities (EAs) and DIM executed projects. **Do not leave any text highlighted in pink in the final draft submitted to UNDP-GEF for internal approval.**
6. Standard text that must be included in each project document is noted in plain text and should not be altered (unless indicated).
7. **Follow guidance on the page length of each section:** keep it‘short and simple’. The project document **should not exceed 45 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).
8. **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.
9. **UNDP quality assurance**: Please use this annotated UNDP-GEF 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 PPG team is not of acceptable quality and is not complete.

**Further information[[1]](#footnote-2):** The project development team should become familiar with the documents listed below.

1. GEF IEO generic Theory of Change included in the GEF IEO document [“An Evaluative Approach to Assessing GEF’s Additionality”](https://www.gefieo.org/evaluations/additionality-framework). [https://www.gefieo.org/evaluations/additionality-framework](https://www.gefieo.org/evaluations/additionality-framework#:~:text=An%20Evaluative%20Approach%20to%20Assessing%20GEF%27s%20Additionality%20Last,to%20the%20GEF%20-%20has%20remained%20a%20challenge.)
2. STAP [“Achieving More Enduring Outcomes from GEF Investment”](https://www.stapgef.org/resources/advisory-documents/achieving-enduring-outcomes-gef-investment) and “[Theory of Change Primer”](https://www.stapgef.org/resources/advisory-documents/theory-change-primer)
3. [UNDP Programme and Operations Policies and Procedures](https://popp.undp.org/node/10826): Formulate Programs and Projects
4. [GEF Polices and Guidelines](https://www.thegef.org/documents/policies-guidelines). This project will be reviewed by GEF for compliance with GEF policies and guidance. Please become very familiar with the [GEF Project Cycle Guidelines](https://www.thegef.org/sites/default/files/documents/GEF_Guidelines_Project_Program_Cycle_Policy_20200731.pdf).
5. GEF CEO [endorsement template and guidance](https://www.thegef.org/documents/templates)
6. GEF STAP ([Scientific and Technical Advisory Panel](http://www.stapgef.org/))
7. GEF IEO ([Independent Evaluation Office](http://www.gefieo.org/)) evaluations
8. [UNDP Social and Environmental Safeguards](http://www.undp.org/content/undp/en/home/operations/social-and-environmental-sustainability-in-undp/): including supporting guidance notes. See [SES Toolkit](https://info.undp.org/sites/bpps/SES_Toolkit/default.aspx) for detailed guidance.
9. [UNDP Social and Environmental Accountability Mechanism](https://www.undp.org/content/undp/en/home/accountability/social-and-environmental-responsibility.html), SECU and SRM



***Add Government Logo when appropriate***

**United Nations Development Programme**

**Annotated Project Document template for projects financed by the various GEF Trust Funds**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project title:** *please use the same title as the title in the CEO endorsement template* | | | | |
| **Country(ies):** | **Implementing Partner (GEF Executing Entity):** *see explanation of who (only one party can be an Implementing Partner (IP) on* [*Select Implementing Partner*](https://popp.undp.org/node/1866) *Policy.* | | | **Execution Modality***: choose* ***one*** *of the following IP modalities and delete the others:*   1. *National Implementation (NIM) if the P is a Government entity. if assisted NIM (if approved by GEF at CEO endorsement), indicate if full* ***or*** *partially assisted NIM* 2. *Direct implementation (DIM) if UNDP is the IP;* 3. *United Nations Agency;* 4. *Civil Society (CSO), including Non-governmental Organization (NGO);* 5. *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: high, 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* [*SES Tookit*](https://info.undp.org/sites/bpps/SES_Toolkit/default.aspx)[*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:** *not required at submission stage. This must be created after CEO endorsement*/Approval. | | | **Quantum Project ID:** *This must be created after CEO Endorsement/Approval. It can only be approved after Prodoc Signature.* | |
| **UNDP PIMS ID number:** *Equivalent to GEF Agency Project noted in CEO endorsement request.* | | | **GEF Project ID number:** *Equivalent to ID assigned by GEFSEC noted in CEO Endorsement request* | |
| **LPAC meeting date:** *this date must be before the expected CEO endorsement date* | | | | |
| **Last possible date to submit to GEF:** *this date must be 12 months after PIF approval for FSPs and 8 months of PIF approval for MSPs or the project is automatically cancelled by the GEF* | | | | |
| **Latest possible CEO endorsement date:** *this date must be 18 months after PIF approval for FSPs and 12 months of PIF approval for MSPs or the project is automatically cancelled by the GEF* | | | | |
| **Project duration in months:** this must be the same as noted in the CEO endorsement template | | | | |
| **Planned start date:** *this is defined as the expected project document signature date. Equivalent to Expected Implementation Start noted in CEO endorsement request.* ***Project document signature must occur no later than 6 months of GEF CEO endorsement of this project.***  **Once the project document is signed, the project start date is to be recorded in the relevant systems as the actual date of project document signature** | | | **Planned completion date:** *this is defined as the expected completion date noted in CEO endorsement request (i.e. date of Project Document Signature plus project duration), which is the date upon which execution of all activities for the Project must be 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.*  **Once the project document is signed, the project completion date is to be recorded in the relevant systems as the actual date of project document signature plus project duration.** | |
| **Expected date of Mid-Term Review (MTR) submission to the GEF:** *mandatory to add date.* ***This must be at the mid-point of the project but no later than 48 months after CEO Endorsement.*** *Mid-point is determined by taking the expected project document signature date plus number of months duration and finding the middle date. (For example, if a project has a 5-year duration, the MTR must be submitted 2.5 years after project document signature.)**This is not required for MSPs or EAs (unless the EA is processed as an FSP).*  *To meet the submission deadline,* ***the final MTR must be completed and submitted to BPPS NCE team no later than 2 months in advance of the submission deadline*** *to allow time for internal review/clearance required prior to submission.* | | | **Expected date of Terminal evaluation (TE) submission to the GEF:** *mandatory to add date. Note that* ***TE must be submitted within 6 months of the Completion Date – this is a hard deadline that, if not met, can only be extended through a formal extension request.***  *To meet the submission deadline,* ***the final TE must be completed and submitted to BPPS NCE team no later than 2 months in advance of the submission deadline*** *to allow time for internal review and clearance required prior to submission.* | |
| **Expected Operational Closure Date:*****Note that Operational Closure must take place within 9 months from the project completion date****.* | | | **Expected Financial Closure Date: *Note that 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.* | | | | |
| **Financing Plan** *(only cash transferred to UNDP’s bank account and included in the TBWP for this specific GEF project should be included under this section (1), all others should be included under section (2).* | | | | |
| GEF Trust Fund grant *(specify if fund is LDCF/SCCF and include the portion approved by GEF CEO* ***under UNDP*** *only)* *Note: If more than one GEF Agency is involved in implementing a single GEF project, only UNDP allocation can be included in this ProDoc template. Other agencies allocation should be included in Total confirmed co-financing not administered by UNDP (2).* | | | USD | |
| UNDP TRAC resources[[2]](#footnote-3) *(only if included in the Total Budget and Work Plan for this specific GEF project)* | | | USD | |
| Confirmed cash co-financing to be administered by UNDP (*only if included in the Total Budget and Work Plan for this specific GEF project))* | | | USD | |
| *…* | | | *… add additional rows if necessary* | |
| 1. **Total Budget administered by UNDP** | | | **USD** | |
|  | | | | |
| 1. **Total confirmed co-financing to this project not administered by UNDP** *(provide* ***one lump sum only as an aggregate****. This can include other UNDP projects administered by UNDP, GEF resources administered by other GEF Agencies etc., which should be consistent with the co-financing table in Section IV of this ProDoc template. Do not break-out by co-financing partner)* | | | **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****[[3]](#footnote-4)** | | **Date/Month/Year:** *within 6 months of GEF CEO endorsement* |
| **Signature:** *print name below* | | **Agreed by Implementing Partner[[4]](#footnote-5)** | | **Date/Month/Year:** *within 6 months of GEF CEO endorsement* |
| **Signature:** *print name below* | | **Agreed by UNDP[[5]](#footnote-6)** | | **Date/Month/Year:** *within 6 months of GEF CEO endorsement* |

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

|  |  |
| --- | --- |
| FSP | Full Sized Project |
| GEF | Global Environment Facility |
| GEFSEC | Global Environment Facility Secretariat |
| MSP | Medium Sized Project |
| PIF | Project Identification Form |
| PIR | GEF Project Implementation Report |
| POPP | Programme and Operations Policies and Procedures |
| PPG | Project Preparation Grant |
| STAP | GEF Scientific Technical Advisory Panel |
| BPPS NCE | Bureau for Policy and Programme Support, Nature, Climate and Energy |

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# Development Challenge

***Maximum length 2 pages***

***Guidance to project developer****: 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[[6]](#footnote-7) 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); National Portfolio Formulation Exercise (NPFE) under GEFSEC; Biennial Update Report (BUR) under UNFCCC; any others that may be relevant).*

***CEO endorsement template****: Note that the CEO Endorsement Request requires a description of any changes in alignment with the project design outlined in the original PIF. Therefore, this section can be brief. This section should align with the following sections of the GEF CEO Endorsement template: Part II Project Justification 1a Project Description sub points 1, and section 7 Consistency with National Priorities*

# Strategy

***Maximum length 2 pages***

***Guidance to project developer****: See GEF STAP guidance on* [*Theory of Change*](https://www.stapgef.org/theory-change-primer)

*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.*

*It is good practice to include a theory of change diagram in the annex showing the linkages between the development challenge and the immediate, underlying and root causes.*

*Outline how the chosen strategy is aligned with the GEF focal area(s) strategy and/or Impact Program strategies. Include any changes to the incremental/additional cost reasoning since PIF approval. Identify what knowledge, good practices and lessons learned (including from evaluation) have informed the analysis of available choices and the selected strategy.*

***CEO endorsement template****: Note that the CEO Endorsement Request only requires a description of any changes in alignment with the project design outlined in the original PIF. Therefore, this section can be brief. This section should align with the following sections of the GEF CEO Endorsement template: Part II Project Justification 1a Project Description sub questions 2, 3, 4, 5, 6, 10 Benefits.*

# Results and Partnerships

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

***Guidance to project developer****: Include details next to the underlined sub-sections below. When describing project sites, note the requirement to provide geo-referenced information and map in Annex.*

***CEO endorsement template****: Align the technical content of the expected results sub-section below with Part II PROJECT JUSTIFICATION 1a Project Description sub-questions 3 and 7 and 1b Project Map and Geo-Coordinates. 2 Stakeholders, 3 Gender Equality and Women’s Empowerment, 4 Private Sector Engagement, 5 Risks, 7 Consistency with National Priorities*

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.)*

*Only include results to be delivered through co-financed activities if the conditions described in the Guidance section of this Annotated ProDoc template can be met; please refer to that section well before deciding to include co-financed activities in project results.*

*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.*

Agreement on intellectual property rights and use of the logo on the project’s deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF 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 GEF will also accord proper acknowledgement to the GEF. Information will be disclosed per relevant policies, notably the UNDP Disclosure Policy[[7]](#footnote-8) and the GEF policy on public involvement[[8]](#footnote-9).

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 to achieve results and briefly map other relevant initiatives to address the development challenge This should not be simply a list of partners, it should be linked to the theory of change. For example, what are the assumptions and expected results achieved by partners that are critical for the achievement of results of this project? This should include other GEF/LCDF/SCCF financed and relevant projects. Elaborate on the private sector’s engagement in the project, if any.*

*Only include co-financing not listed above under results in this section on Partnerships (i.e. co-financing that is not part of the project’s results) if the conditions described in the Guidance section of this Annotated ProDoc template can be met.*

*Complete the following co-financing summary table, ensuring that it is consistent with the information provided in “Expected Results” and other relevant sections of the ProDoc.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Co-financing source** | **Co-financing type** | **Co-financing amount** | **Included in project results?** | **If yes, list the relevant outputs** |
| *(e.g. government, or NGO)* | *(e.g. In kind) as per GEF CEO endorsement template* |  | *Yes/no* |  |
| … | … | … |  |  |

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), noting that GEF policy requires that an additional plan or framework in the CEO ER package of all SES Substantial and High risk 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.*

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).*

*Refer to the detailed* [*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) *included in Annex, which must be “comprehensive” if the project is categorized as SES Substantial or High. 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).*

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[[9]](#footnote-10).* 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: *Refer to the gender analysis and gender action plan included in 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 in project outcomes.*

*Indicate whether the project expects to include any gender-responsive measures to address gender gaps or promote gender equality and women’s empowerment. (Yes/No).*

*Indicate in which results area(s) the project is expected to contribute to gender equality: closing gender gaps in access to and control over natural resources; improving women’s participation and decision making; and/or generating socio-economic benefits or services for women. Indicate (yes/no) whether the project's results framework or logical framework includes gender-responsive indicators. See* [*GEF Guidelines on Gender Equality*](https://www.thegef.org/sites/default/files/documents/Gender_Equality_Guidelines.pdf)*.*

*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 GEF grant financing once this project is completed?*

Digital Solutions*[[10]](#footnote-11)***:** *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 to project developer****: 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 GEF policies and procedures,*** *including social and environmental safeguards policies and requirements (SES).*

***Co-financed activities****: Only include co-financing activities under the project document's results narrative as relevant.*

*Indicators are required for the project objective and project outcomes only. Table B in the CEO endorsement request template shows that each project should have no more than 4 Project Components and no more than 8 project outcomes (two per component). Include results that contribute to gender equality and women’s empowerment as per the findings of the gender analysis. When choosing indicators, keep the following requirements in mind:*

* *Do not include more than a total of 20 indicators to keep the M&E burden manageable, as these indicators must be monitored annually and will be reported to the GEF and other stakeholders through the annual PIR (see M&E section for further details).*
* *The GEF Core indicators relevant to this project (see Annex) must be added to the results framework at the objective level. See detailed methodologies* [*here.*](https://www.thegef.org/sites/default/files/documents/2022-09/Results_Framework_Guidelines_2022_06_30.pdf) *Note that these indicators will be monitored annually in the GEF PIR. They will be quality assured and reported to the GEF at midterm and end of the project.*
* *You will need to 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 in the Monitoring Plan in annex. The Monitoring Plan should also outline how indicators and the corresponding targets were derived, such as what calculations or figures add to a total value.*
* *The indicators must be directly connected to the objective or outcome and need to measure the change we would like to see at the objective or outcome level.*
* *The indicators should not be a list of outputs or activities delivered under that outcome or objective. Indicators such as “number of participants trained” or “report produced” for example are NOT objective or outcome-level indicators and should not be included in the results framework!*
* *As many indicators as feasible must be gender-responsive and disaggregated by gender (i.e. # male, # female, not # households).*
* *Include socioeconomic co-benefit indicators*
* *The indicators should link to data that the country already measures and collects and should link to the SDG indicators where feasible.*
* *Each indicator must have a baseline value and an expected value to be achieved by the mid-point (mid-term target) of implementation and an expected value to be achieved by project closure (end-of-project target).*
* *The indicators must be SMART: specific; measurable; attributable; relevant; time-bound, timely, trackable and targeted. See* [*GEF Evaluation Policy*](http://www.gefieo.org/evaluations/gef-evaluation-policy-2019) *for additional details.*

*Do not include footnotes to the framework, as these will not be transferred to the project’s PIR. Any notes should be included in the Monitoring Plan in the M&E section. Do not make any changes to the standard headings below (i.e. project objective, outcome 1, outcome 2 etc.). Do not embed tables within the Results Framework; use simple text-only formatting.*

***CEO endorsement template****: This results framework should align with Table B and will be the same as that required in the GEF CEO Endorsement template Annex A: Project Results Framework*

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

* *Enter Objective-level indicators from the Results Framework into the Quantum ‘Project Indicators’ tab*
* *‘Project Components’ from the Results Framework will appear in the Quantum ‘Outcomes’ tab*
* *‘Project Outcomes’ from the Results Framework will appear in the Quantum ‘Outputs’ tab*
* *Enter outcome-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(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:** | | | | | | | | |
| **Objective and Outcome Indicators[[11]](#footnote-12)**  **(no more than a total of 20 indicators)** | | **Data Source**  *List the source of the baseline data and targets and explain how this* | **Baseline****[[12]](#footnote-13)**  *Must be determined during PPG phase* | **Mid-term Target[[13]](#footnote-14)**  *Expected level of progress before MTR process starts* | **End of Project Target**  *Expected level when terminal evaluation undertaken* | **Data Collection Methods[[14]](#footnote-15)**  *Explain how data was collected and how it should be collected during project implementation. Detail which methodology should be used (e.g. GEF GHG measurement methodology).* | | **Risks/Assumptions**  *Explain risk and assumptions that were made when the objective was selected, and the project theory of change developed. What risks were identified that if materialized will stop the project from reaching its objective/outcome. Include any assumptions made when estimating the target values.* |
| **Project Objective:**   * 1. ***indicators maximum*** | *Copy the project objective from table B of the CEO endorsement request.* | | | | | | | |
| **Mandatory** Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)[[15]](#footnote-16)  *(see* [*methodology*](https://www.thegef.org/sites/default/files/documents/2022-09/Results_Framework_Guidelines_2022_06_30.pdf) *available from GEF)*  *Note: indirect project beneficiaries can be added as an additional objective level indicator if applicable/relevant.* |  |  |  |  |  | |  |
| **Mandatory** GEF Core Indicators: *use selected GEF Core indicators (including sub-indicators, as appropriate) add other objective-level indicators here.*  *Indicator 2:* |  |  |  |  |  | |  |
| *Indicator 3:* |  |  |  |  |  | |  |
| *Indicator 4:* |  |  |  |  |  | |  |
| **Project component 1 (*no indicators required)*** | *Copy the project component from table B of the CEO endorsement request* | | | | | |  |  |
| **Project Outcome[[16]](#footnote-17) 1**  ***2 indicators maximum*** | *Indicator 5: project specific* |  |  |  |  |  | |  |
| *Indicator 6: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 1** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Outcome 2**  ***2 indicators maximum*** | *Indicator 7: project specific* |  |  |  |  |  | |  |
| *Indicator 8: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 2** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Project component 2 *(no indicators required)*** | *Copy the project component from table B of the CEO endorsement request* | | | | | |  |  |
| **Outcome 3**  ***2 indicators maximum*** | *Indicator 9: project specific* |  |  |  |  |  | |  |
| *Indicator 10: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 3** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Outcome 4**  ***2 indicators maximum*** | *Indicator 11: project specific* |  |  |  |  |  | |  |
| *Indicator 12: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 4** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Project component 3 *(no indicators required)*** | *Copy the project component from table B from the CEO endorsement request* | | | | | |  |  |
| **Outcome 5**  ***2 indicators maximum*** | *Indicator 13: project specific* |  |  |  |  |  | |  |
| *Indicator 14: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 5** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Outcome 6**  ***2 indicators maximum*** | *Indicator 15: project specific* |  |  |  |  |  | |  |
| *Indicator 16: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 6** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Project component *(no indicators required)*** | **Monitoring & Evaluation**  *Copy the project component from table B of the CEO endorsement request. Note the M&E activities to be undertaken under section VI of the project document.* | | | | | |  |  |
| **Outcome 7**  ***2 indicators maximum*** | *Indicator 17: project specific* |  |  |  |  |  | |  |
| *Indicator 18: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 7** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |
| **Outcome 8**  ***2 indicators maximum*** | *Indicator 19: project specific* |  |  |  |  |  | |  |
| *Indicator 20: project specific* |  |  |  |  |  | |  |
| **Outputs to achieve Outcome 8** | *List the outputs here. Do not add indicators for outputs.* | | | | | |  |  |

# Monitoring and Evaluation (M&E) Plan

***Guidance to project developer****: This section outlines the GEF M&E requirements only. 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.***

*Note:*

1. *Medium sized projects with a GEF Grant of USD 2 million or less are not required by the GEF to prepare a MTR or to update the GEF core indicators at mid-point. However, an MTR can be prepared if partners agree this would support adaptive management.*
2. *EA projects are not required to prepare a PIR or undertake a mid-term review. Please delete the relevant sections below.*
3. *If more than one GEF Agency is involved in project implementation, agreement must be reached on which GEF Agency (usually the Lead Agency) will submit the following documents: annual PIR, MTR and TE (and associated Core Indicators and SES instruments, if applicable) to the GEF. One Agency must lead on each and this can be shared across the Agencies as appropriate (for example, UNDP can lead on the PIR and MTR and Core Indicators and another Agency on the TE) If UNDP will NOT lead on one or more of these, then delete the relevant paragraph (s) below. Only include the M&E activities to be delivered by this UNDP project in the M&E budget.*
4. *Complete each line in the two tables provided: M&E plan and M&E budget; do not leave the provided estimates, add actual figures necessary for this project. The GEF has indicative caps on the total M&E costs as follows:*
   * *5% for M&E when the GEF project grant for this project is up to USD 5 million*
   * *3% for M&E when the GEF project grant for this project is between USD 5-10 million (note this does not mean 5% for project grant up to 5 million and then 3% for the rest. It is 3% flat if the budget is 5,000,001 as it is for a budget of 10 million. This same approach applies for the thresholds established by the GEF for the PMC budget.)*
   * *2% for M&E when the GEF project grant for this project is over USD 10 million*

***CEO endorsement template****: Refer to this section of the UNDP-GEF project document in Part II: PROJECT JUSTIFICATION 9: Describe the Budgeted M&E Plan.*

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Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](https://popp.undp.org) (including [guidance on GEF project revisions](https://popp.undp.org/node/1681)) 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 mandatory GEF-specific M&E requirements will be undertaken in accordance with the [GEF Monitoring Policy](https://www.thegef.org/sites/default/files/council-meeting-documents/GEF-C.56-03%2C%20Policy%20on%20Monitoring.pdf) and the [GEF Evaluation Policy](https://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.ME_C56_02_GEF_Evaluation_Policy_May_2019_0.pdf) and other [relevant GEF policies](https://www.thegef.org/documents/policies-guidelines)[[17]](#footnote-18). The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

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

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

Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, 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 GEF OFP and other stakeholders in project-level M&E.
5. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) 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. Finalize the TOR of the Project Board.
8. Formally launch the Project.

GEF Project Implementation Report (PIR): *Not required for EA projects.*

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

GEF and/or LDCF/SCCF Core Indicators: *Not required for EA projects.*

The GEF and/or LDCF/SCCF Core indicators included as Annex 15 will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the core indicators status. The updated monitoring data must be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent groundtruthing. The methodologies to be used in data collection have been defined by the GEF and are available on the [GEF](https://www.thegef.org/sites/default/files/documents/2022-09/Results_Framework_Guidelines_2022_06_30.pdf). If relevant to the project: The required Protected Area Management Effectiveness Tracking Tool (METTs) must be prepared and the scores included in the GEF Core Indicators.

Independent Mid-term Review (MTR): *[delete if this is a GEF medium-size project (MSP or EA; except for EAs processed as an FSP]]*

An independent mid-term review (MTR) will be completed by the mid-point of the project. The terms of reference, the MTR process and the final MTR report will follow the standard templates and MTR guidance for UNDP-supported GEF-financed projects available on the [UNDP Evaluation Resource Center](http://web.undp.org/evaluation/guidance.shtml#gef). The MTR must be submitted to the GEF by the mid-point of the project but no later than 48 months after CEO Endorsement. *Mid-point is determined by taking the expected ProDoc signature date plus number of months duration and finding the middle date. (For example, if a project has a 5-year duration, the MTR must be submitted 2.5 years after ProDoc signature.)*To meet the submission deadline, final MTR reports must be completed and submitted to BPPS NCE team no later than 2 months in advance of the submission deadline to allow sufficient time for internal review/clearance that is required prior to submission.

Provisions must be taken to complete and submit the MTR within the submission deadline. Therefore, the MTR process must start no later than 8 months before the expected date of submission of the MTR.

The MTR 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 reviewed. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the MTR process. Additional quality assurance support is available from BPPS/NCE.

The final MTR report will be publicly available in English and will be posted on the UNDP ERC by the MTR submission date included on cover page of this project document. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report’s submission to the GEF.

Terminal Evaluation (TE): *Not required for EA projects, however, non-expedited EAs processed as FSPs must carry out a TE*

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and TE guidance for UNDP-supported GEF-financed projects available on the [UNDP Evaluation Resource Center](http://web.undp.org/evaluation/guidance.shtml#gef). TE must be submitted to the GEF no later than 6 months after the Completion Date. This is a hard deadline that, if not met, can only be extended through a formal extension request. To meet the submission deadline, final TE reports must be completed and submitted to BPPS NCE team no later than 2 months in advance of the deadline to allow sufficient time for internal review/clearance that is required prior to submission.

Provisions must be taken to complete and submit the TE within the submission deadline. Therefore, TE must start no later than 8 months before the expected date of submission of the TE (or 11 months prior to the estimated operational closure date).

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 GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from BPPS NCE.

The final TE report will be publicly available in English and posted on the UNDP ERC by the TE submission date included on cover page of this project document. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report submission to the GEF.

Per the GEF Terminal Evaluation requirements, for cancelled full-sized projects, Terminal Evaluations are required if the GEF grant expenditure exceeds more than US$ 2 million.

Final Report: *Not required for EA projects.*

The project’s final GEF PIR along with the terminal evaluation (TE) report 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.

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 GEF PIR 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.

| **Monitoring Activity** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Results Monitoring** | **Indicators** | **Targets** | **Description of indicators and targets** | **Frequency** | **Responsible for data collection** | **Means of verification** |
| **Track results progress** | **Project objective from the results framework** | ***Indicator 1***  *Copy from results framework* | *Split out midterm and end of project targets. Can add estimated annual targets if feasible* | *Describe the indicator and detail how the target values were derived.* | Annually (reported in Development Objective (DO) progress section of the GEF PIR), mid-term, closure | *For example, National Office of Statistics; UNDP Country Office;*  *Project consultant* | *Consultant report*  *National statistics report* |
| ***Indicator 2*** |  |  |  |  |  |
| ***Indicator 3*** |  |  |  |  |  |
| ***Indicator 4*** |  |  |  |  |  |
| **Project Outcome 1** | ***Indicator 5*** |  |  |  |  |  |
| ***Indicator 6*** |  |  |  |  |  |
| **Project Outcome 2** | ***Indicator 7*** |  |  |  |  |  |
| ***Indicator 8*** |  |  |  |  |  |
| **Project Outcome 3** | ***Indicator 9*** |  |  |  |  |  |
| ***Indicator 10*** |  |  |  |  |  |
| **Project Outcome 4** | ***Indicator 11*** |  |  |  |  |  |
| ***Indicator 12*** |  |  |  |  |  |
| **Project Outcome 5** | ***Indicator 13*** |  |  |  |  |  |
| ***Indicator 14*** |  |  |  |  |  |
| **Project Outcome 6** | ***Indicator 15*** |  |  |  |  |  |
| ***Indicator 16*** |  |  |  |  |  |
| **Project Outcome 7** | ***Indicator 17*** |  |  |  |  |  |
| ***Indicator 18*** |  |  |  |  |  |
| **Project Outcome 8** | ***Indicator 19*** |  |  |  |  |  |
| ***Indicator 20*** |  |  |  |  |  |

| **Monitoring Activity** |  |  |  |
| --- | --- | --- | --- |
|  | **Frequency/Timeframe** | **Expected Action** | **Partners**  **(if joint)** |
| **Inception Workshop and Report** | Inception Workshop within 2 months of the First Disbursement | As per above description |  |
| **Track results progress (see above table for details)** | Annually and at mid-point and closure | Slower than expected progress will be addressed by project management. |  |
| **Monitor and Manage Risk** | Quarterly | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. |  |
| **Monitor *[list project safeguards management frameworks and/or plans and gender action plans here; delete row if none]*** | ongoing |  |  |
| **Supervision Missions** | Annually |  |  |
| **Learning and Learning Missions** | As needed | Relevant lessons are captured by the project team and used to inform management decisions. |  |
| **Annual Project Quality Assurance** | Annually | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. |  |
| **Review and Make Course Corrections** | At least annually | Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections. |  |
| **Annual GEF Project Implementation Report (PIR)** | Annually typically between June-September | Mandatory contribution by Project Team, CO and RTA. Strengths and weaknesses will be reviewed by project management and used to inform decisions to improve project performance |  |
| **Project Review (Project Board)** | *Specify frequency (i.e., at least annually)* | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified. |  |
| ***Add other project M&E activities, as needed*** |  |  |  |

## Evaluation Plan

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Evaluation Title** | **Partners (if joint)** | **Related Strategic Plan Output** | **UNSDCF/CPD Outcome** | **Planned Completion Date** | **Key Evaluation Stakeholders** |
| Independent Mid-Term Review (MTR)  *(optional for MSPs)* | *Add* | *Add* | *Add* | By the MTR submission date included on cover page of Project Document | *Add* |
| Independent Terminal Evaluation (TE) | *Add* | *Add* | *Add* | By the TE submission date included on cover page of Project Document | *Add* |

| **Monitoring and Evaluation Budget for project execution:**  *This M&E budget provides a breakdown of costs for M&E activities to be led by the Project Management Unit during project implementation. These costs are equivalent to those of the M&E Component of the Results Framework and TBWP. Other project M&E activities can be added to this budget if they are included under the M&E component of the results framework. The oversight and participation of the UNDP Country Office/Regional technical advisors/HQ Units in these M&E activities and in performing standard UNDP M&E requirements are not included as these are covered by the GEF Fee.* | |
| --- | --- |
| **GEF M&E requirements to be undertaken by Project Management Unit (PMU)** | **Indicative costs (US$)** |
| **Inception Workshop and Report** | *Add* |
| **M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework** | *Add* |
| **Preparation of the annual GEF Project Implementation Report (PIR)** | *Add* |
| **Monitoring of *[list project safeguards management frameworks and/or plans and gender action plans here; delete row if none]*** | *Add as per plan* |
| **Supervision missions** | *Add* |
| **Learning missions** | *Add* |
| **Independent Mid-term Review (MTR): *costs associated with conducting the independent review/evaluation to be commissioned by UNDP not the Implementing Partner or PMU.*** | *Add See* [*MTR guidance*](http://web.undp.org/evaluation/guidance.shtml#gef) *for estimates on time required and costs* |
| **Independent Terminal Evaluation (TE): *costs associated with conducting the independent evaluation to be commissioned by UNDP not the Implementing Partner or the PMU.***  *Not required for EA projects; however, non-expedited EAs processed as FSPs must carry out a TE* | *Add See* [*TE guidance*](http://web.undp.org/evaluation/guidance.shtml#gef) *for estimates on time required and costs* |
| ***Add other project M&E activities noting this cannot include audit costs as these must be charged to the Project Management Costs.*** |  |
| **TOTAL indicative COST**  *Do not exceed*  *5 % when GEF project grant up to USD 5 million.*  *3% when GEF project grant between 5–10 million.*  *2% when GEF project grant over 10 million* |  |

# Governance and Management Arrangements

***Guidance to project developer****:*

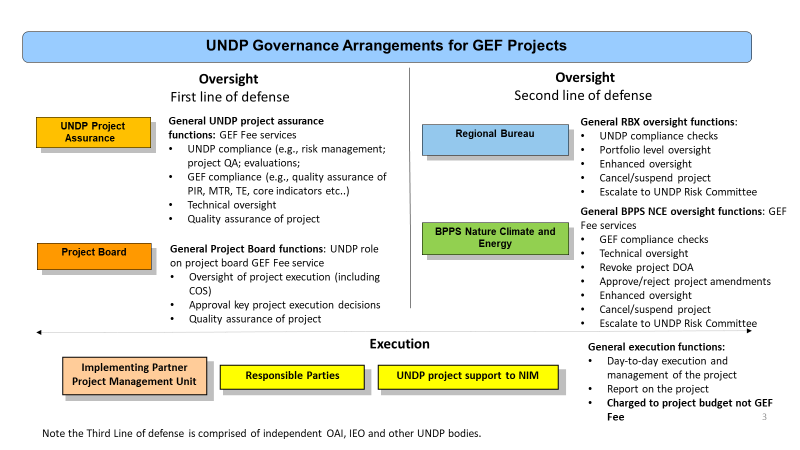
*As stated in the UNDP POPP, project developers and the UNDP Country office must ensure compliance with UNDP policies on selection of Implementing Partner and Responsible Parties. Refer to the link here:* [*https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=452&Menu=BusinessUnit*](https://popp.undp.org/node/11526)

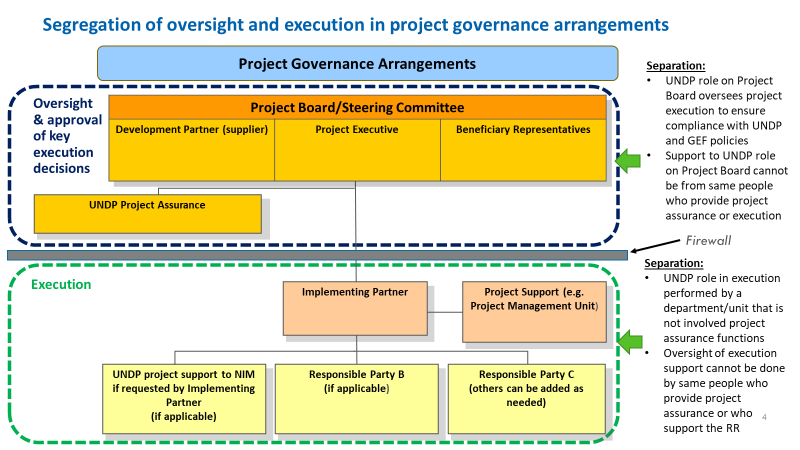
*Explain the roles and responsibilities of the parties involved in governing and managing the project. Minimum requirements for a project’s governance arrangements include stakeholder representation (i.e., UNDP, national partners, beneficiary representatives, donors, etc.) with authority to make decisions 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 GEF PPG phase should be used to inform the completion of the project organization structure. The* [*partner capacity assessment tool considers project management capacities and the HACT assessment*](https://popp.undp.org/node/11526) *help 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 costs of completing the PCAT and HACT assessments, if not already completed, are to be charged to the PPG budget.*

***Project governance structure****: Choose one of the 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).*

**

**

***CEO endorsement template****: If changes are made to the project organization structure during financial clearance, the RTA must ensure this section of the project document is the same as that presented in Part II PROJECT JUSTIFICATION A.6 Institutional Arrangement and Coordination of the CEO endorsement template.*

**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 cover 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) and this must be pre-approved by the GEF.*

*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 GEF), 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/node/1441) *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 GEF 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 GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF 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.

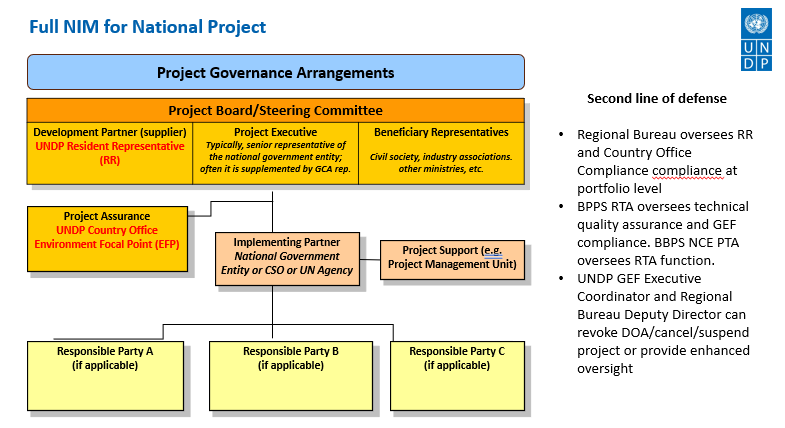
*Add following sentence if the implementing partner is not UNDP and if UNDP is performing ANY support to execution for the implementing partner:* A firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and charged to the GEF Fee and any support to project execution performed by UNDP (as requested by and agreed to by both the Implementing Partner and GEF) and may be charged to the GEF project management costs (only if approved by GEF). 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*).**

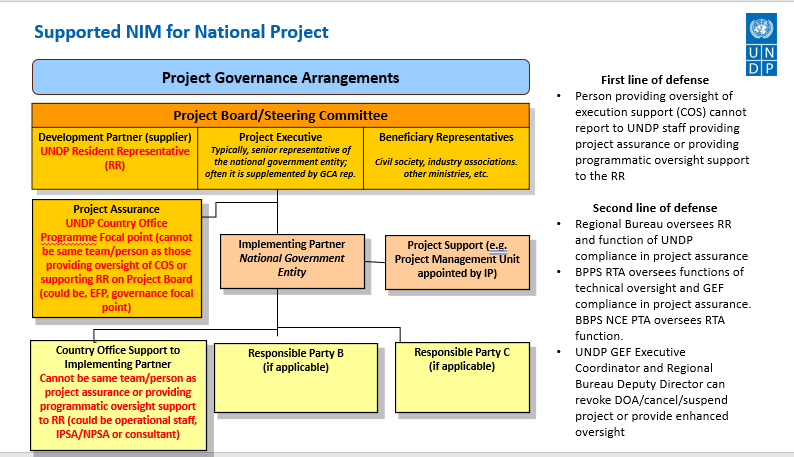
1. ***Options for Country Projects***

*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*



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 GEF-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, and provided that such an execution support arrangement has been duly approved by the GEF at the time of CEO Endorsement*

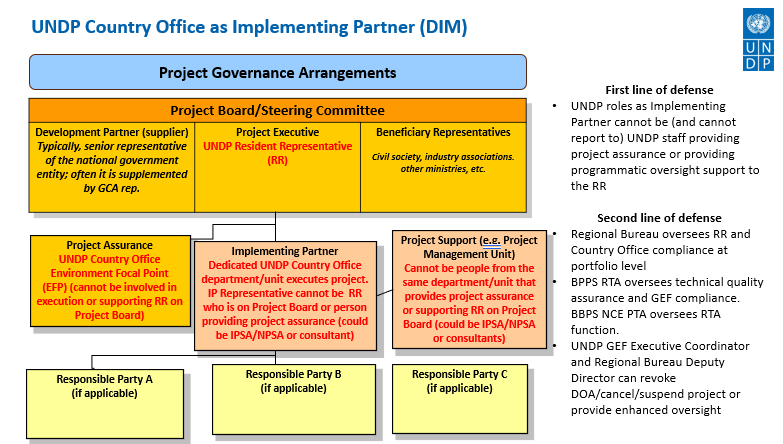


The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial 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 GEF has agreed to UNDP support services)****:* The Implementing Partner and GEF OFP 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, and the GEF has agreed for UNDP to provide such 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-GEF resources] **(Please delete as appropriate)**. The execution support services – whether financed from the project budget or other 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 GEF and in accordance with the UNDP Internal Control Framework, these execution services will be delivered independent from the GEF-specific oversight and quality assurance services.

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

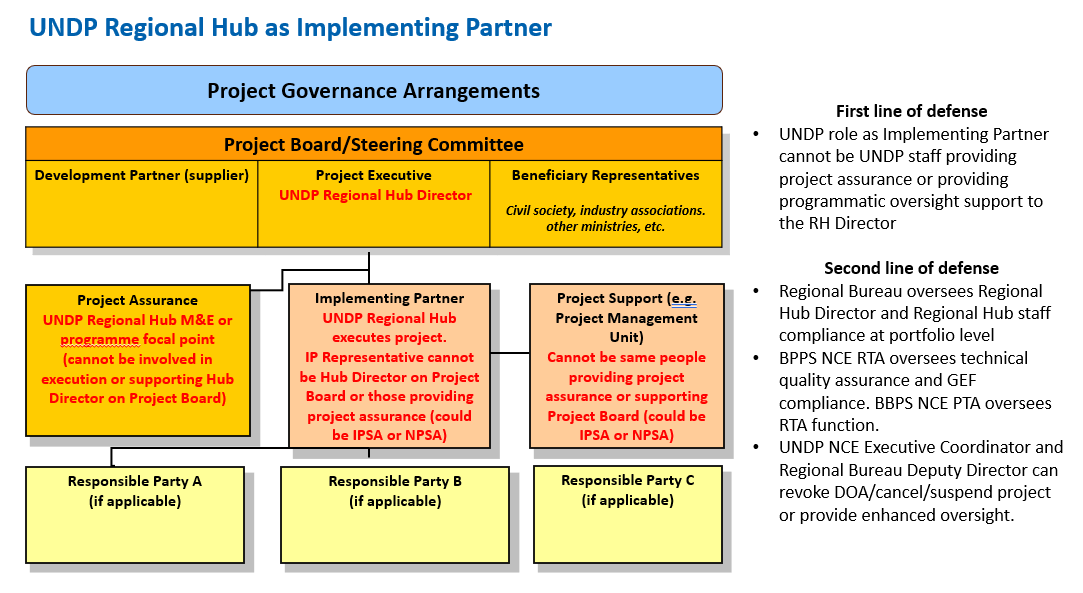


The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial 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 Execution Role *(only add paragraph if the GEF has agreed to UNDP execution under DIM)****:* The GEF OFP, UNDP and the GEF have agreed for UNDP to fully execute the project under the DIM modality and for the cost of these services to be charged to the project budget. To ensure the strict independence required by the GEF and in accordance with the UNDP Internal Control Framework, these execution services will be delivered independent from the GEF-specific oversight and quality assurance services.

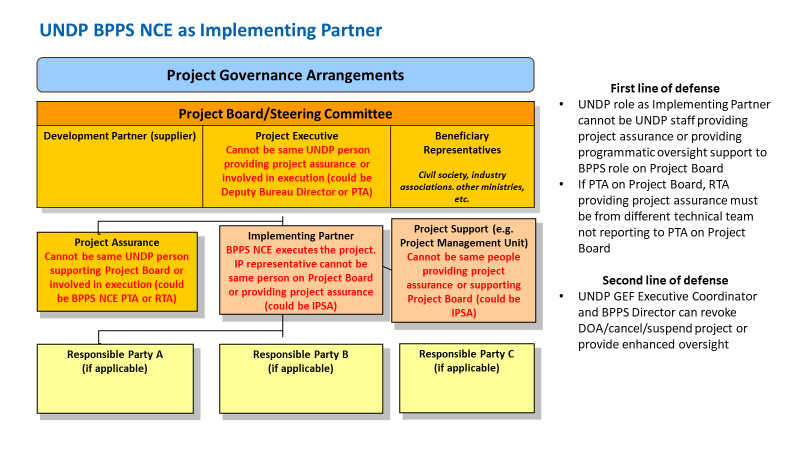
1. ***Options for Regional and Global Projects (as approved by GEF)***

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



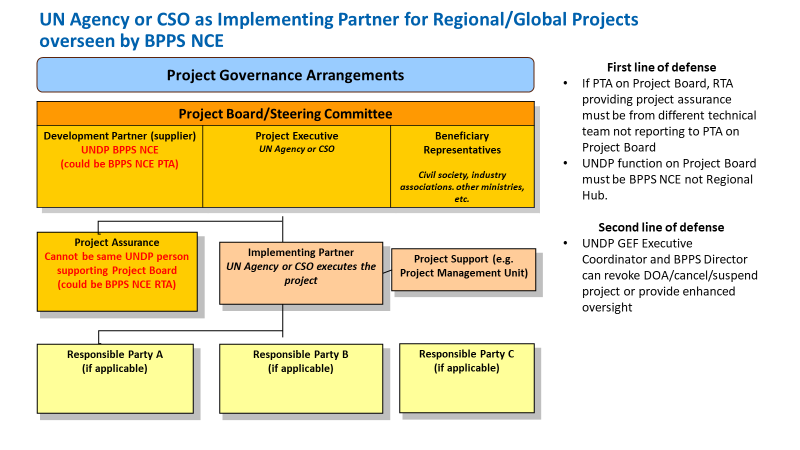
The UNDP Regional Hub Director assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations 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 BPPS is the implementing partner (Global DIM)*



UNDP BPPS assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP BPPS NCE 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)*

UNDP BPPS NCE assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A UNDP BPPS NCE 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:**

As noted in the [Minimum Fiduciary Standards for GEF Partner Agencies](https://www.thegef.org/sites/default/files/documents/gef_minimum_fiduciary_standards_partner_agencies_2019.pdf), in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and

execution functions.

*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 GEF) is performed by **[indicate UNDP function/person, which must be different than the UNDP 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 Responsibilities of the Project Organization Structure:**

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 main (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/node/1856) 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 logs and the combined delivery report. The Project Board is 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”](https://popp.undp.org/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 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 overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
  + Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs 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 Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF 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, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
* 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 (this is typically the UNDP Resident Representative or Deputy Resident Representative who will ensure the policies of UNDP and the GEF 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 compliance with the risk management and social and environmental standards of UNDP. 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 their 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 to project developer****: please complete missing text below.*

***CEO endorsement template****: Align the technical content with Part C Confirmed Sources of Co-finance for the project by name and source.*

The total cost of the project is *USD XXX.* This is financed through a GEF *or LDCF or SCCF* grant of *USD* XXX administered by UNDP, *USD XXX* in cash co-financing to be administered by UNDP and additional support of USD *XXX* (include GEF grant administered by other GEF Agencies as relevant) UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

**Co-financing**: The actual realization of project co-financing amounts will be monitored by the UNDP Country Office and the PMU on an annual basis in the GEF PIF and will be reported to the GEF during the *mid-term review* and terminal evaluation process as follows:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Co-financing source** | **Co-financing type** | **Name of Co-financier** | **Investment Mobilized** | **Co-financing amount** |
| *(e.g. government, or NGO)* | *(e.g. In kind) as per GEF CEO endorsement template* |  | *(either Investment mobilized ar recurrent expenditures)* |  |
| … | … |  |  | … |
| ***Total*** |  |  |  |  |

**Budget Revision and Tolerance**: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

1. Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
2. Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the [GEF and UNDP policies](https://www.thegef.org/sites/default/files/documents/GEF_Guidelines_Project_Program_Cycle_Policy_20200731.pdf).
3. Project management cost (PMC): budget under PMC component is capped and cannot be increased.

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-GEF resources by the Implementing Partner (GEF Executing Entity)

**Project extensions:** The UNDP-BPPS-NCE team Executive Coordinator must approve all requests for extension of the Project Completion Date and for other milestone extensions with hard deadlines. All extensions impose additional time and cost burdens at all levels and the GEF project budget cannot be increased beyond its originally approved amount. 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-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with 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-NCE Executive Coordinator will consult the Regional Bureaux (RBX) and may reject the extension request if no (external co-financing by the IP or internal UNDP CO resources) 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 cannot be included under M&E component and budget and must be included under PMC. Do not remove any text from this audit section.*

**Transfer or disposal of assets**: In consultation with the 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 **must be done before the operational closure date**. In all cases of transfer, a transfer document must be prepared and kept on file[[18]](#footnote-19). The transfer should be done before Project Management Unit complete their assignments.

**Completion Date:** The project completion date is the date of Project Document Signature plus project duration. This date can only be extended through a formal extension request. Prior to 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 Closure**: 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 within 9 months from project completion date.** Prior to operational closure, the Terminal Evaluation must have been submitted and the corresponding TE 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.
* **Financial Closure:** **Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the 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 BPPS/NCE 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 GEF requirements. Guidance can be found in the UNDP POPP ([SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator](https://popp.undp.org/node/1796) and [Guidance for GEF project revisions](https://popp.undp.org/node/1681)).

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

# Total Budget and Work Plan

***Guidance to project developer****: This table* ***must be completed using a separate excel file******and then be copied here*** *(not as an object/picture). In addition, a second GEF Budget table (using GEF Budget template) must be completed for submission to the GEF. Both the UNDP TBWP and the GEF excel budget templates are available from BPPS NCE-VF team. Excel TBWP must be posted to PIMS+ for financial review and clearance. MPSU will prepare the GEF Budget after TBWP is financially cleared and will upload it in PIMS+ to be inserted in Annex 1 GEF Budget of this ProDoc.*

*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”.*

***CEO endorsement template****: The TBWP table of the ProDoc needs to be fully aligned with Table B*

**Guidance to project developer on the preparation of the Total Budget Work Plan:**

Total Budget Work Plan (TBWP) is the project financial plan and budget to be approved to be entered in Quantum using the GEF/GCF template.

*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).*

*Only the responsible parties to be created as Quantum Responsible Party (as part of the Quantum Distribution Combination) should be entered here. Sub-level responsible parties reporting directly to NIM Implementing Partners should not entered here. For example, if under NIM, UNOPS signs LOA with the IP to manage component 2, and a department of Ministry X will manage component 3, this means that UNOPS will be listed as the responsible party under component 2. The rest of the components will list the IP as the responsible party.*

*Only cash co-financing actually transferring to UNDP bank accounts and to be budgeted and used under this project should be entered in the main TBWP table and in Quantum.*

1. *If the project is a full-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.*
2. *If the project is medium sized, include USD 50,000 – 75,000 for independent lead consultant to undertake terminal evaluation.*
3. *Include sufficient allocation to translate the mid-term review and terminal evaluation into English as appropriate*
4. *Note the M&E component informal caps:*
   * 1. *5% for M&E when the GEF project grant for this project is up to USD 5 million*
     2. *3% for M&E when the GEF project grant for this project is between USD 5-10 million (note this does not mean 5% for project grant up to 5 million and then 3% for the rest. It is 3% flat if the budget is 5,000,001 as it is for a budget of 10 million. This same approach applies for the thresholds established by the GEF for the PMC budget.)*
     3. *2% for M&E when the GEF project grant for this project is over USD 10 million*
5. *M&E must be a separate component as project financing should include an indicative M&E budget in Part I, Section B of the project document, as per GEF policy guidance.*
6. *Project Management Costs should not exceed 5% of total project budget for FSPs and 10% for MSPs. PMU costs will be used for the following activities: Audit; Full time or part time project manager (and or coordinator); Full time or part time project financial specialist/Assistant, procurement specialist/assistant, project assistant; Travel cost of the PMU project staff; Other General Operating Expenses such as rent, computer, equipment, supplies, etc. to support the PMU; UNDP CO Support Costs if requested by Government Implementing Partner and GEF OFP and agreed by GEF Secretariat;.*
7. *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 GEFSEC during consultation.* *Any technical support planned to be provided by UNDP existing staff (if agreed by GEFSEC), should be budgeted using regular staff budgetary account. For requested administrative direct project support such as procurement, payments, recruitment, workshops refer to latest applicable guidance on GEF funded projects.*
8. *Include an estimated audit cost USD 5,000-10,000 a year (or other amount as provided by UNDP Country Office) to be* ***budgeted to PMC*** *not M&E, using account 74100 Professional Services. This budget account must be exclusively used for audit purposes.*
9. *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 GEF policy.*
10. *As per GEF Policy, CSO/NGO fees should not be included in the GEF project budget. CSO/NGO’s administrative/overhead costs will instead be covered by PMC co-financing.*
11. ***Taxation****: Please refer to the UNDP POPP guidance on* [*Payments and taxes*](https://popp.undp.org/node/4321) *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.*
12. *Please refer to* [*Guidance on GEF Project Budget Costing*](https://popp.undp.org/node/1456) *for eligible expenses, UNDP POPP and GEF policies.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Total Budget and Work Plan** | | | |
| Quantum Business Unit | UNDP-XXX | | |
| Quantum Project ID: | 00XXXXXX | Quantum Project Title: | *As in Quantum* |
| Quantum Award ID: | XXXXXXX | Quantum Award Title: | *As in Quantum* |
| UNDP-GEF PIMS No. | XXXX | | |
| Implementing Partner | *Name of the implementing Partner (only one Implementing partner can be entered here)* | | |

| **Quantum Outcome (GEF Component)** | **Quantum Output (GEF Outcome)** | **Quantum Activity (GEF Output)** | **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 (as per Table B of the CEO Endorsement request)* | *Outcome 1.1 (as per Table B of the CEO Endorsement request)* | *Output 1.1.1 (as per Table B of the CEO Endorsement request)* | *Responsible Party A* | *62XXX* | *010003* | *71200* | *International Consultants* | $ | $ | $ | $ | 1 |
| *62XXX* | *71400* | *Contractual Services - Individuals* | $ | $ | $ | $ | 2 |
| *62XXX* | *71600* | *Travel* | $ | $ | $ | $ | 3 |
| *62XXX* | *72100* | *Contractual Services - Companies* | $ | $ | $ | $ | 4 |
| *62XXX* | *72400* | *Communication & Audio Visual Equip* | $ | $ | $ | $ | … |
| *62XXX* | *…* | *etc.* | $ | $ | $ | $ |  |
| *Total Responsible Party A* | | | | | $ | $ | $ | $ |  |
| *… add Responsible Party(ies) as required* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party …* | | | | | $ | $ | $ | $ |  |
| *Total Output 1.1.1* | | | | | | $ | $ | $ | $ |  |
| *Output 1.1.2 (as per Table B of the CEO Endorsement request)* | *Responsible Party A* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party A* | | | | | $ | $ | $ | $ |  |
| *… add Responsible Party(ies) as required* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party B* | | | | | $ | $ | $ | $ |  |
| *Total Output 1.2.1* | | | | | | $ | $ | $ | $ |  |
| *Total Outcome 1.1* | | | | | | | $ | $ | $ | $ |  |
| *Add Outcome(s) as required (as per Table B of the CEO Endorsement request)* | *Add Output(s) as required (as per Table B of the CEO Endorsement request)* | *… add Responsible Party(ies) as required* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party* | | | | | $ | $ | $ | $ |  |
| *Total Output 1.2.1* | | | | | | $ | $ | $ | $ |  |
| *Total Outcome 1.2* | | | | | | | $ | $ | $ | $ |  |
| *Total Component 1* | | | | | | | | $ | $ | $ | $ |  |
| *Add components as required (as per Table B of the CEO Endorsement request) following the example above* | *Add Outcome(s) as required (as per Table B of the CEO Endorsement request)* | *Add Output(s) as required (as per Table B of the CEO Endorsement request)* | *… add Responsible Party(ies) as required* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ | … |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
|  |  | *Total Responsible Party* | | | | | $ | $ | $ | $ |  |
| *Total Output 2.1.1, etc.* | | | | | | $ | $ | $ | $ |  |
| *Total Outcome 2.1, etc.* | | | | | | | $ | $ | $ | $ |  |
| *Total Component 2, 3, etc.* | | | | | | | | $ | $ | $ | $ |  |
| *Monitoring and Evaluation (M&E)* | *M&E (as per Table B of the CEO Endorsement Request)* | *M&E (as per Table B of the CEO Endorsement Request)* | *Add Responsible Party(ies) as required - follow structure above* | *62XXX* | *010003* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ | … |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party …* | | | | | $ | $ | $ | $ |  |
| *Total M&E* | | | | | | | | $ | $ | $ | $ |  |
| *Project Management Cost (PMC)* | *PMC* | *PMC* | *Add Responsible Party(ies) as required - follow structure above* | *62XXX* | *010003* | *71200* | *International Consultants* | $ | $ | $ | $ | … |
| *62XXX* | *71300* | *Local Consultants* | $ | $ | $ | $ |  |
| *62XXX* | *71600* | *Travel* | $ | $ | $ | $ |  |
| *62XXX* | *72500* | *Supplies* | $ | $ | $ | $ |  |
| *62XXX* | *71400* | *Professional Services* | $ | $ | $ | $ |  |
| *62XXX* | *64397* | *Services to projects - CO staff* | $ | $ | $ | $ |  |
| *62XXX* | *74596* | *Services to projects - GOE for CO* | $ | $ | $ | $ |  |
| *62XXX* | *7XXXX* | *Budget Account Description* | $ | $ | $ | $ |  |
| *Total Responsible Party …* | | | | | $ | $ | $ | $ |  |
| *Total Project Management Cost* | | | | | | | | $ | $ | $ | $ |  |
| *Total Project Grant* | | | | | | | | $ | $ | $ | $ |  |

**Budget Notes**

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

|  |  |
| --- | --- |
| **Budget Note No.** | **Budget Note (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 to project developer****: 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 GEF, which could lead to serious delays and consequently the automatic cancellation of the project by the GEF. These sections are mandatory, cannot be edited, and are critical to UNDP’s compliance with UNDP and GEF 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 to project developer****: 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 GEF, which could lead to serious delays and consequently the automatic cancellation of the project by the GEF. These sections are mandatory, cannot be edited, and are critical to UNDP’s compliance with UNDP and GEF 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, 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 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 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” 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][[19]](#footnote-20) [UNDP funds received pursuant to the Project Document][[20]](#footnote-21) 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 list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). 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, 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 or corruption 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 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 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][[21]](#footnote-22) [UNDP funds received pursuant to the Project Document][[22]](#footnote-23) 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 (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](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**

***Guidance to the project developer:***

*Keep order. The following Annexes must be included within this Project Document and not as separate documents. They must be completed as part of the submission package to the GEF and included in the project document that is signed by the relevant parties:*

1. GEF Budget Template (available from BPPS NCE team)
2. GEF Execution Support Letter
3. Project Map and geospatial coordinates of the project area
4. Multiyear Workplan
5. Social and Environmental Screening Procedure (SESP), or justification of SESP exemption
6. UNDP Risk Register
7. Overview of technical consultancies/subcontracts
8. Stakeholder Engagement Plan
9. Environmental Social Management Framework (ESMF) or other SES frameworks/plans including the Project’s GRM, if required, may not be required for EAs

*The following Annexes must be completed as part of the submission package to the GEF, but do not have to be included as part of the Project Document if this is more convenient (i.e. they can be annexed separately). These separate annexes must be included in the project document that is signed by the relevant parties:*

1. Gender Analysis and Gender Action Plan
2. Procurement Plan – for first year of implementation especially GEF focal area specific annexes (e.g. METT, GHG calculations, target landscape profile, feasibility study, other technical reports)
3. Additional agreements: such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”), letters of financial commitments etc..
4. Signed LOA between UNDP and IP requesting UNDP Support Services (if required on exceptional basis and authorized by the GEF)
5. GEF CEO Endorsement/Approval
6. On-Granting Provisions Applicable to the Implementing Partner
7. Terms of Reference for Project Board and Project Team

*The following Annexes can be prepared as separate documents. They must be completed as part of the submission package to the GEF and are entered line-by-line into the GEF Portal. These separate annexes do not need to be part of the project document that is signed by the relevant parties. The standard Project Board TOR can be found* [*here*](https://popp.undp.org/node/1976)***.***

1. GEF and/or LDCF/SCCF Core indicators (see template below)
2. GEF Taxonomy (see template below)

*The following Annexes must completed/prepared as separate documents. Most must be completed early in the PPG phase to help inform the design of the project. They must be made available to the LPAC members. They do not need to be submitted to the GEF and do not need to be part of the project document that is signed by the relevant parties.*

1. Results of the [Partners Capacity Assessment Tool (PCAT) and HACT Micro Assessment](https://popp.undp.org/node/11526) (*Please refer to the HACT policies for guidance on applicability and financial thresholds)*
2. UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system)

## Annex 1: GEF Budget Template

To be provided by MPSU after TBWP clearance.

## Annex 2: GEF execution support letter

[Government Letterhead]

[Date]

To: Pradeep Kurukulasuriya,

UNDP

**Subject: Letter of Support to request GEF Agency Execution for [Title of Project/Program Proposal] [GEF ID#]**

1. In my capacity as GEF Operational Focal Point for [Country], I hereby request UNDP, the GEF implementing agency for the aforementioned project, to also carry out execution services for the above project/program, on an exceptional basis.

2. The execution services provided by UNDP are expected to include:[[23]](#footnote-24)

* [Function 1
* Function 2
* Function 3
* Etc.. ]

3. The execution services to be provided by [Country, ministry or other entity] are expected to include:[[24]](#footnote-25)

* [Function 1
* Function 2
* Function 3
* Etc.. ]

4. Execution activities, including those provided by UNDP will be described in detail in the GEF CEO Endorsement/Approval request and accompanying project/program documents, including the project/program budget.

Sincerely,

[Name of Operational Focal Point]

[Position/Title in Government]

## Annex 3: Project map and Geospatial Coordinates of project sites

Any maps included in this project document must conform to maps accepted by the UN Geospatial Information Section (see <https://www.un.org/geospatial/mapsgeo>)

## Annex 4: Multi Year Work Plan

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Outcomes** | **Outputs** | **Year 1** | | | | **Year 2** | | | | **Year 3** | | | | **Year 4** | | | | **Year 5** | | | |
| Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Component 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Component 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Etc… |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

## Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

## Annex 6: UNDP Risk Register

***Guidance to project developer****: Complete the table below. Please refer to the* [*Project Risk Register*](https://popp.undp.org/node/326) *for further information.*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **#** | **Event/ Description** | **Cause** | **Impact(s)** | **Risk Category and Sub-category *(including Risk Appetite)*** | **Impact, Likelihood & Risk Level** | **Risk Valid From/To** | **Risk Owner**  **(*individual accountable for managing the risk*)** | **Risk Treatment / Management Measures** |
|  | Enter a brief description of the risk. Risk description should include future event and cause.  Risks identified through HACT, PCAT, SES, Private Sector Due Diligence, and other assessments should be included. |  |  | Social and Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other  Subcategories for each risk type should be consulted to understand each risk type (see UNDP Enterprise Risk Management Policy) | Describe the potential **effect** on the project if the future event were to occur.  Enter **likelihood** based on 1-5 scale (1 = Not likely; 5 = Expected)  Enter **impact** based on 1-5 scale (1 = Negligible 5 = Extreme)  *Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (high, Substantial, Moderate or Low)* | Enter the period which the risk begins, and ends be | The person or entity with the responsibility to manage the risk. | What actions have been taken/will be taken to manage this risk. |
| 1 |  |  |  | Social and Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other | Text | L =  I = |  |  |
| 2 |  |  |  | Social and Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other | Text | L =  I = |  |  |
| 3 |  |  |  |  |  |  |  |  |

## Annex 7: Overview of Technical Consultancies/Subcontracts

***Guidance to project developer****: The following template includes example text to help guide the completion of this template for the project in question and must be edited as needed for the project in question. The GEF Secretariat will review the TOR for project staff that will have a portion of their salary charged to technical components of the project budget to ensure that technical tasks are included in the TOR. Align with Governance section.*

| **Consultant** | **Time Input** | **Tasks, Inputs and Outputs** |
| --- | --- | --- |
| ***For Project Management*** | | |
| ***Local / National contracting*** | | |
| *Project Manager/Coordinator*  *Rate: $1,200/week* | *43 weeks / over 5 years* | *The Project Manager (PM), together with the Lead Technical Advisor will be responsible for the overall management of the project, including the mobilization 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 GEF PIR submission deadline so that progress can be reported in the GEF PIR.* * *Prepare the GEF PIR;* * *Assess major and minor amendments to the project within the parameters set by UNDP-GEF;* * *Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;* * *Monitor and track progress against the GEF Core indicators.* * *Support the Mid-term review and Terminal Evaluation process.* * *Add technical tasks as necessary* |
| *Project Assistant* |  | *Duties and Responsibilities*  *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.* |
| *Project Accountant/Finance Assistant/Finance officer* |  | *Duties and 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.* |
| ***International / Regional and global contracting*** | | |
|  |  |  |
| ***For Technical Assistance*** | | |
| ***Outcome 1*** | | |
| ***Local / National contracting*** | | |
| *Protected Area Capacity Development National Specialist*  *Rate: $300/week* | *80 weeks / over 5 years* | *Under close supervision of Lead Technical Advisor and Project Manager (PM) the Protected Area Capacity Development Specialist (PACDS) will work closely with the Protected Area Capacity Development Advisor (PACDA) to conduct protected area capacity building related to the project under Outputs 1.2 and 1.3 and support a working group for improved protected area capacity building and work with that group to:*   * *Contribute to the development of a capacity development strategy and action plan for increasing the management effectiveness of the PA system.* * *Coordinate the establishment of PA management standards and a PA and individual performance monitoring system for different categories of PAs.* * *Contribute to the development of a program of training to raise focal competencies of senior and mid-level protected area managers and practioners.* * *Contribute to the indentification of incentive mechanisms for increasing the motivation of field staff.* * *Contribute to the development and institutionalisation of modernized reporting structure and methods.* * *Contribute to the development of law enforcement and habitat/biodiversity monitoring protocols.* * *Coordinate the development and institutionalisation of a PA information and knowledge management system enabling learning from, and upscaling of, pilot/individual project activities.* * *Coordinate the development of official guidelines for community engagement and co-management.* |
| ***Outcome 4: KM and M&E*** | | |
| *Project Gender Officer* |  | *Duties and Responsibilities*   * 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; |
| *Project Monitoring and Evaluation Officer* |  | *Duties and Responsibilities*   * *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-GEF; 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.* |
| ***Outcome*** | | |
| *Project Social and Environmental Safeguards Officer* |  | *Duties and Responsibilities*   * *Monitor progress in development/implementation of the project ESMP/ESMF ensuring that UNDPs SES policy is fully met and the reporting requirements are fulfilled;* * *Oversee/develop/coordinate implementation of all safeguard related plans;* * *Ensure social and environmental grievances are managed effectively and transparently;* * *Review the SESP annually, and update and revise corresponding risk log; mitigation/management plans as necessary;* * *Ensure full disclosure with concerned stakeholders;* * *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 fully address the safeguard issues of the project; nm* |
| ***International / Regional and global contracting*** | | |
| *Lead Technical Advisor*  *Rate: $2,000/week* | *20 weeks / over 5 years* | *The Lead Technical Adviser will be responsible for providing overall technical backstopping and management support to the Project.* |
| *International PA & Biodiversity Strategy Advisor*  *Rate: $ 2,000/week* | *25 weeks / over 5 years* | *In close coordination with the Project Manager (PM), the international Protected Areas and Biodiversity Advisor (PABA) will provide international perspective, strategic guidance and technical inputs to the implementation of activities under Outputs 1.1 to 1.6, including the following:*   * *For Output 1.1, the PABA will coordinate and provide technical advice to the international and national policy specialists, participate in the policy review process and provide inputs to policy recommendations for strengthening the national PA system* * *For Output 1.2, the PABA will coordinate and provide technical advice to the international and national capacity building specialists regarding the capacity development strategy and action plan for increasing the management effectiveness of the PA system; development of PA management standards and performance monitoring system; the development and institutionalisation of a modernized PA reporting system; the development of law enforcement and habitat/biodiversity monitoring protocols; and the development and institutionalisation of a PA information and knowledge management system* * *For Output 1.3, the PABA will provide technical advice to the international and national capacity building specialists, and provide guidance and inputs to the development and delivery of a program of training to raise focal competencies of senior and mid-level protected area managers and practitioners.* * *For Output 1.4, the PABA will coordinate and provide technical advice to the international and national sustainable financing experts regarding development of a sustainable financing strategy for the PA system, capacity building for implementation of the strategy, the development of a series of studies to inform sustainable financing policies and plans, and integrating PA system concerns into REDD+ programme development.* * *For Output 1.5, the PABA will coordinate and provide technical advice to the international and national landscape conservation regarding awareness and knowledge building for State, Region and local government units in Kachin State and Sagaing Region on the value of PAs; and implementation of a social marketing campaign linked to cofinanced WCS national communications strategy work.* * *For Output 1.6, the PABA will provide technical advice and support to the national PABS, NWCD and other stakeholders for implementation of PA gap analysis recommendations; coordinate plans for biological and social ground-truthing surveys for areas of conservation value; and facilitate a cooperative process to identify potential areas for PA creation.* |

## Annex 8: Stakeholder Engagement Plan

***Guidance to project developer****: 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. Please refer to the* [*UNDP Social and Environmental Standards*](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20Social%20and%20Environmental%20Screening%20Procedure_JULY2022_ENGLISH.pdf)[*Toolkit*](https://info.undp.org/sites/bpps/SES_Toolkit/default.aspx)*, which contains a guidance note on SEPs that must be followed.* [*.*](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf) *Additional guidance is available under the GEF Guidelines on the Implementation of the Policy on Stakeholder Engagement. Note that projects categorized as Substantial or High in their SESP must have a Comprehensive Stakeholder Engagement Plan.*

## Annex 9: Environmental Social Management Framework (ESMF) and other SES frameworks/plans, if required

***Guidance to project developer****: The frameworks and/or plans included in this annex must align with the project’s SESP and in most cases will have been initially identified during the pre-screening of the project concept (and noted in the PPG Initiation Plan as a requirement). Please refer to the* [*UNDP Social and Environmental Standards*](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20Social%20and%20Environmental%20Screening%20Procedure_JULY2022_ENGLISH.pdf)[*Toolkit*](https://info.undp.org/sites/bpps/SES_Toolkit/default.aspx) *for further guidance including standard outlines, which should be followed to ensure SES compliance.*

## Annex 10: Gender Analysis and Gender Action Plan

## Annex 11: Procurement Plan

Annex 12: Additional agreements: such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”), letters of financial commitments etc..

## **Annex 13: Signed LOA between UNDP and IP requesting UNDP Support Services** (if required on exceptional basis and authorized by the GEF)

## 

Annex 14: GEF CEO Endorsement/Approval

### **Annex 15: On-Granting Provisions Applicable to the Implementing Partner**

On-granting clauses for non-UNDP Implementing Partners can be found [here](https://popp.undp.org/node/1011).This applies in cases where on-granting is built into the design and to the extent that it complies with the [UNDP Policy on Low Value Grants (LVGs).](https://popp.undp.org/node/1446)

## Annex 16: Terms of Reference for Project Board and Project Team

The standard Project Board TOR can be found [here](https://popp.undp.org/node/1976)**.**

## Annex 17: GEF Core indicators

***Guidance to project developer****: Please complete the GEF Core Indicators worksheet and/or LDCF/SCCF Results Framework worksheet as appropriate, noting that all GEFTF projects are expected to provided data for GEF Core Indicator 11 (direct beneficiaries; first indicator in the Results Framework) at a minimum. Paste the completed worksheet(s) into this ProDoc annex.*

*The links to the Core Indicator worksheets follow, though please check on the GEF website that they are the current version:*

*GEF Core Indicators Guidelines:* [*https://www.thegef.org/sites/default/files/documents/2022-09/Results\_Framework\_Guidelines\_2022\_06\_30.pdf*](https://www.thegef.org/sites/default/files/documents/2022-09/Results_Framework_Guidelines_2022_06_30.pdf)

*GEF Core Indicators Worksheet: https://www.thegef.org/documents/gef-8-core-indicators-worksheet*

*LDCF/SCCF Results Framework:* [*https://www.thegef.org/documents/gef-climate-change-adaptation-results-framework-gef-7*](https://www.thegef.org/documents/gef-climate-change-adaptation-results-framework-gef-7)

*However, if it is concluded that no indicators are relevant to the project, then an explanation must be provided (to request an exceptional waiver from the GEFSec).*

*Any changes to the PIF-stage selection of indicators (including sub-indicators) and/or any significant changes to the PIF-stage figures must be cleared by the RTA.*

*This Annex must be completed by the submission deadline, but it does not need to be included in the ProDoc submitted to the GEF as this data must be manually entered into the GEF Portal. The supplemental METTs, if required, should be prepared in the* [*GEF-7 Excel template*](https://www.thegef.org/documents/gef-7-biodiversity-protected-area-tracking-tool) *and should not be included in the ProDoc but attached as a separate document. METTs scores must also be transferred to the Core Indicators worksheet.*

## Annex 18: GEF Taxonomy

***Guidance to project developer****: Please complete these tables as appropriate ticking the most relevant keywords/topics/themes. Double check on the GEF website here to ensure this is the most recent list:* <https://www.thegef.org/documents/templates> *This Annex must be completed by the submission deadline, but it does not need to be included in the ProDoc submitted to the GEF as this data must be manually entered into the GEF Portal.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Level 1** | **Level 2** | **Level 3** | **Level 4** |
| **Influencing models** |  |  |  |
|  | **Transform policy and regulatory environments** |  |  |
|  | **Strengthen institutional capacity and decision-making** |  |  |
|  | **Convene multi-stakeholder alliances** |  |  |
|  | **Demonstrate innovative approaches** |  |  |
|  | **Deploy innovative financial instruments** |  |  |
| **Stakeholders** |  |  |  |
|  | **Indigenous Peoples** |  |  |
|  | **Private Sector** |  |  |
|  |  | Capital providers |  |
|  |  | Financial intermediaries and market facilitators |  |
|  |  | Large corporations |  |
|  |  | SMEs |  |
|  |  | Individuals/Entrepreneurs |  |
|  |  | Non-Grant Pilot |  |
|  |  | Project Reflow |  |
|  | **Beneficiaries** |  |  |
|  | **Local Communities** |  |  |
|  | **Civil Society** |  |  |
|  |  | Community Based Organization |  |
|  |  | Non-Governmental Organization |  |
|  |  | Academia |  |
|  |  | Trade Unions and Workers Unions |  |
|  | **Type of Engagement** |  |  |
|  |  | Information Dissemination |  |
|  |  | Partnership |  |
|  |  | Consultation |  |
|  |  | Participation |  |
|  | **Communications** |  |  |
|  |  | Awareness Raising |  |
|  |  | Education |  |
|  |  | Public Campaigns |  |
|  |  | Behavior Change |  |
| **Capacity, Knowledge and Research** |  |  |  |
|  | **Enabling Activities** |  |  |
|  | **Capacity Development** |  |  |
|  | **Knowledge Generation and Exchange** |  |  |
|  | **Targeted Research** |  |  |
|  | **Learning** |  |  |
|  |  | Theory of Change |  |
|  |  | Adaptive Management |  |
|  |  | Indicators to Measure Change |  |
|  | **Innovation** |  |  |
|  | **Knowledge and Learning** |  |  |
|  |  | Knowledge Management |  |
|  |  | Innovation |  |
|  |  | Capacity Development |  |
|  |  | Learning |  |
|  | **Stakeholder Engagement Plan** |  |  |
| **Gender Equality** |  |  |  |
|  | **Gender Mainstreaming** |  |  |
|  |  | Beneficiaries |  |
|  |  | Women groups |  |
|  |  | Sex-disaggregated indicators |  |
|  |  | Gender-sensitive indicators |  |
|  | **Gender results areas** |  |  |
|  |  | Access and control over natural resources |  |
|  |  | Participation and leadership |  |
|  |  | Access to benefits and services |  |
|  |  | Capacity development |  |
|  |  | Awareness raising |  |
|  |  | Knowledge generation |  |
| **Focal Areas/Theme** |  |  |  |
|  | **Integrated Programs** |  |  |
|  |  | Commodity Supply Chains (Good Growth Partnership) |  |
|  |  |  | Sustainable Commodities Production |
|  |  |  | Deforestation-free Sourcing |
|  |  |  | Financial Screening Tools |
|  |  |  | High Conservation Value Forests |
|  |  |  | High Carbon Stocks Forests |
|  |  |  | Soybean Supply Chain |
|  |  |  | Oil Palm Supply Chain |
|  |  |  | Beef Supply Chain |
|  |  |  | Smallholder Farmers |
|  |  |  | Adaptive Management |
|  |  | Food Security in Sub-Sahara Africa |  |
|  |  |  | Resilience (climate and shocks) |
|  |  |  | Sustainable Production Systems |
|  |  |  | Agroecosystems |
|  |  |  | Land and Soil Health |
|  |  |  | Diversified Farming |
|  |  |  | Integrated Land and Water Management |
|  |  |  | Smallholder Farming |
|  |  |  | Small and Medium Enterprises |
|  |  |  | Crop Genetic Diversity |
|  |  |  | Food Value Chains |
|  |  |  | Gender Dimensions |
|  |  |  | Multi-stakeholder Platforms |
|  |  | Food Systems, Land Use and Restoration |  |
|  |  |  | Sustainable Food Systems |
|  |  |  | Landscape Restoration |
|  |  |  | Sustainable Commodity Production |
|  |  |  | Comprehensive Land Use Planning |
|  |  |  | Integrated Landscapes |
|  |  |  | Food Value Chains |
|  |  |  | Deforestation-free Sourcing |
|  |  |  | Smallholder Farmers |
|  |  | Sustainable Cities |  |
|  |  |  | Integrated urban planning |
|  |  |  | Urban sustainability framework |
|  |  |  | Transport and Mobility |
|  |  |  | Buildings |
|  |  |  | Municipal waste management |
|  |  |  | Green space |
|  |  |  | Urban Biodiversity |
|  |  |  | Urban Food Systems |
|  |  |  | Energy efficiency |
|  |  |  | Municipal Financing |
|  |  |  | Global Platform for Sustainable Cities |
|  |  |  | Urban Resilience |
|  | **Biodiversity** |  |  |
|  |  | Protected Areas and Landscapes |  |
|  |  |  | Terrestrial Protected Areas |
|  |  |  | Coastal and Marine Protected Areas |
|  |  |  | Productive Landscapes |
|  |  |  | Productive Seascapes |
|  |  |  | Community Based Natural Resource Management |
|  |  | Mainstreaming |  |
|  |  |  | Extractive Industries (oil, gas, mining) |
|  |  |  | Forestry (Including HCVF and REDD+) |
|  |  |  | Tourism |
|  |  |  | Agriculture & agrobiodiversity |
|  |  |  | Fisheries |
|  |  |  | Infrastructure |
|  |  |  | Certification (National Standards) |
|  |  |  | Certification (International Standards) |
|  |  | Species |  |
|  |  |  | Illegal Wildlife Trade |
|  |  |  | Threatened Species |
|  |  |  | Wildlife for Sustainable Development |
|  |  |  | Crop Wild Relatives |
|  |  |  | Plant Genetic Resources |
|  |  |  | Animal Genetic Resources |
|  |  |  | Livestock Wild Relatives |
|  |  |  | Invasive Alien Species (IAS) |
|  |  | Biomes |  |
|  |  |  | Mangroves |
|  |  |  | Coral Reefs |
|  |  |  | Sea Grasses |
|  |  |  | Wetlands |
|  |  |  | Rivers |
|  |  |  | Lakes |
|  |  |  | Tropical Rain Forests |
|  |  |  | Tropical Dry Forests |
|  |  |  | Temperate Forests |
|  |  |  | Grasslands |
|  |  |  | Paramo |
|  |  |  | Desert |
|  |  | Financial and Accounting |  |
|  |  |  | Payment for Ecosystem Services |
|  |  |  | Natural Capital Assessment and Accounting |
|  |  |  | Conservation Trust Funds |
|  |  |  | Conservation Finance |
|  |  | Supplementary Protocol to the CBD |  |
|  |  |  | Biosafety |
|  |  |  | Access to Genetic Resources Benefit Sharing |
|  | **Forests** |  |  |
|  |  | Forest and Landscape Restoration |  |
|  |  |  | REDD/REDD+ |
|  |  | Forest |  |
|  |  |  | Amazon |
|  |  |  | Congo |
|  |  |  | Drylands |
|  | **Land Degradation** |  |  |
|  |  | Sustainable Land Management |  |
|  |  |  | Restoration and Rehabilitation of Degraded Lands |
|  |  |  | Ecosystem Approach |
|  |  |  | Integrated and Cross-sectoral approach |
|  |  |  | Community-Based NRM |
|  |  |  | Sustainable Livelihoods |
|  |  |  | Income Generating Activities |
|  |  |  | Sustainable Agriculture |
|  |  |  | Sustainable Pasture Management |
|  |  |  | Sustainable Forest/Woodland Management |
|  |  |  | Improved Soil and Water Management Techniques |
|  |  |  | Sustainable Fire Management |
|  |  |  | Drought Mitigation/Early Warning |
|  |  | Land Degradation Neutrality |  |
|  |  |  | Land Productivity |
|  |  |  | Land Cover and Land cover change |
|  |  |  | Carbon stocks above or below ground |
|  |  | Food Security |  |
|  | **International Waters** |  |  |
|  |  | Ship |  |
|  |  | Coastal |  |
|  |  | Freshwater |  |
|  |  |  | Aquifer |
|  |  |  | River Basin |
|  |  |  | Lake Basin |
|  |  | Learning |  |
|  |  | Fisheries |  |
|  |  | Persistent toxic substances |  |
|  |  | SIDS : Small Island Dev States |  |
|  |  | Targeted Research |  |
|  |  | Pollution |  |
|  |  |  | Persistent toxic substances |
|  |  |  | Plastics |
|  |  |  | Nutrient pollution from all sectors except wastewater |
|  |  |  | Nutrient pollution from Wastewater |
|  |  | Transboundary Diagnostic Analysis and Strategic Action Plan preparation |  |
|  |  | Strategic Action Plan Implementation |  |
|  |  | Areas Beyond National Jurisdiction |  |
|  |  | Large Marine Ecosystems |  |
|  |  | Private Sector |  |
|  |  | Aquaculture |  |
|  |  | Marine Protected Area |  |
|  |  | Biomes |  |
|  |  |  | Mangrove |
|  |  |  | Coral Reefs |
|  |  |  | Seagrasses |
|  |  |  | Polar Ecosystems |
|  |  |  | Constructed Wetlands |
|  | **Chemicals and Waste** |  |  |
|  |  | Mercury |  |
|  |  | Artisanal and Scale Gold Mining |  |
|  |  | Coal Fired Power Plants |  |
|  |  | Coal Fired Industrial Boilers |  |
|  |  | Cement |  |
|  |  | Non-Ferrous Metals Production |  |
|  |  | Ozone |  |
|  |  | Persistent Organic Pollutants |  |
|  |  | Unintentional Persistent Organic Pollutants |  |
|  |  | Sound Management of chemicals and Waste |  |
|  |  | Waste Management |  |
|  |  |  | Hazardous Waste Management |
|  |  |  | Industrial Waste |
|  |  |  | e-Waste |
|  |  | Emissions |  |
|  |  | Disposal |  |
|  |  | New Persistent Organic Pollutants |  |
|  |  | Polychlorinated Biphenyls |  |
|  |  | Plastics |  |
|  |  | Eco-Efficiency |  |
|  |  | Pesticides |  |
|  |  | DDT - Vector Management |  |
|  |  | DDT - Other |  |
|  |  | Industrial Emissions |  |
|  |  | Open Burning |  |
|  |  | Best Available Technology / Best Environmental Practices |  |
|  |  | Green Chemistry |  |
|  | **Climate Change** |  |  |
|  |  | **Climate Change Adaptation** |  |
|  |  |  | Climate Finance |
|  |  |  | Least Developed Countries |
|  |  |  | Small Island Developing States |
|  |  |  | Disaster Risk Management |
|  |  |  | Sea-level rise |
|  |  |  | Climate Resilience |
|  |  |  | Climate information |
|  |  |  | Ecosystem-based Adaptation |
|  |  |  | Adaptation Tech Transfer |
|  |  |  | National Adaptation Programme of Action |
|  |  |  | National Adaptation Plan |
|  |  |  | Mainstreaming Adaptation |
|  |  |  | Private Sector |
|  |  |  | Innovation |
|  |  |  | Complementarity |
|  |  |  | Community-based Adaptation |
|  |  |  | Livelihoods |
|  |  | **Climate Change Mitigation** |  |
|  |  |  | Agriculture, Forestry, and other Land Use |
|  |  |  | Energy Efficiency |
|  |  |  | Sustainable Urban Systems and Transport |
|  |  |  | Technology Transfer |
|  |  |  | Renewable Energy |
|  |  |  | Financing |
|  |  |  | Enabling Activities |
|  |  | **Technology Transfer** |  |
|  |  |  | Poznan Strategic Programme on Technology Transfer |
|  |  |  | Climate Technology Centre & Network (CTCN) |
|  |  |  | Endogenous technology |
|  |  |  | Technology Needs Assessment |
|  |  |  | Adaptation Tech Transfer |
|  |  | **United Nations Framework on Climate Change** | Nationally Determined Contribution |
|  |  |  |  |
|  | **Rio Markers** |  |  |
|  |  | Paris Agreement |  |
|  |  | Sustainable Development Goals |  |
|  |  | Climate Change Mitigation 0 |  |
|  |  | Climate Change Mitigation 1 |  |
|  |  | Climate Change Mitigation 2 |  |
|  |  | Climate Change Adaptation 0 |  |
|  |  | Climate Change Adaptation 1 |  |
|  |  | Climate Change Adaptation 2 |  |
|  |  |  |  |

### Annex 19: Results of the Partners Capacity Assessment Tool (PACT) and HACT Micro Assessment

1. As these links may become inactive over time, please notify the BPPS/NCE-VF team if you notice an inactive link. [↑](#footnote-ref-2)
2. This is not a mandatory requirement. [↑](#footnote-ref-3)
3. *Other evidence of government agreement may be accepted in lieu of a signature unless the programme country government requires a signature.* [↑](#footnote-ref-4)
4. *Not required when UNDP is the IP DIM). If a UN Agency or an IGO is the IP, and has signed a SBEAA with UNDP, then the Government Development Coordination Authority, UNDP and UN Agency/IGO sign the project document. If an UN Agency/IGO is the IP, and has NOT signed a SBEAA with UNDP, then the Government Development Coordination Authority and UNDP sign the project document and attach it to the Project Cooperation Agreement to be signed by the UN Agency/IGO and UNDP. If a CSO/NGO is the IP, the Government Development Coordination Authority and UNDP sign the project document and attach it to the Project Cooperation Agreement to be signed by the CSO/NGO and UNDP. CSO/NGO does not sign the Project Document.*  [↑](#footnote-ref-5)
5. *For NIM projects, this is the CO RR. For DIM projects in a single country, this is the CO RR. For global, regional DIM projects, this is the Head of the lead Unit (as per the Department of the project. For example, regional project managed by Regional Hub, Head of Regional Hub will sign; global project managed NCE-VF, it is the NCE-VF Executive Coordinator).* [↑](#footnote-ref-6)
6. *The analysis should include digital considerations. Please see the guideline “*[*Embedding Digital in Project Design*](https://rebrand.ly/DbDProjectGuideEN)*”.*  [↑](#footnote-ref-7)
7. See http://www.undp.org/content/undp/en/home/operations/transparency/information\_disclosurepolicy/ [↑](#footnote-ref-8)
8. See https://www.thegef.org/gef/policies\_guidelines [↑](#footnote-ref-9)
9. <https://panorama.solutions/en> [↑](#footnote-ref-10)
10. *Please see the* [*Guideline “Embedding Digital in Project Design*](https://rebrand.ly/DbDProjectGuideEN)*”.* [↑](#footnote-ref-11)
11. *UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.* [↑](#footnote-ref-12)
12. *Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and needs to be quantified. The baseline can be zero when appropriate given the project has not started. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.*  [↑](#footnote-ref-13)
13. *Target is the change in the baseline value that will be achieved by the mid-term review and then again by the terminal evaluation.* [↑](#footnote-ref-14)
14. *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-15)
15. *. This indicator captures the number of individual people who receive targeted support or assistance from a given GEF-financed project or program and/or who use the specific resources that the project maintains or enhances. Direct beneficiaries are all individuals receiving either: (a) Targeted support. This includes individuals whom can be identified as receiving direct support or assistance, can be counted individually and are aware they are receiving support in some sort and/or use the specific resources. This implies a high degree of attribution to the project; or (b) High intensity of support. This means receiving a high level of support/effort provided per person, assessed on a continuum with broad levels from Low to Medium and High, where only high intensity of support qualifies as direct beneficiary as per Table 1 (page 26) of the GEF’s* [*Guidelines on the Implementation of the GEF-8 Results Measurement Framework*](https://www.thegef.org/sites/default/files/documents/2022-09/Results_Framework_Guidelines_2022_06_30.pdf)  [↑](#footnote-ref-16)
16. *Outcomes are medium term results that the project makes a contribution towards, and that are designed to help achieve the longer-term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.* [↑](#footnote-ref-17)
17. See <https://www.thegef.org/projects-operations/policies-guidelines> [↑](#footnote-ref-18)
18. See <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default>. [↑](#footnote-ref-19)
19. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-20)
20. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-21)
21. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-22)
22. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-23)
23. Include a brief summary of the execution services to be provided by the GEF Agency. Please refer to GEF Project and Program Cycle Guidelines Annex 8 (Table B) for eligible execution functions. [↑](#footnote-ref-24)
24. This para to be included as appropriate. Delete if all execution services are to be provided by GEF Agency. [↑](#footnote-ref-25)