



Initiation Plan / GEF PPG

Project Title: Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)

Country: Kiribati

Country Programme Outcome 1.1: Improved resilience of PICTs, with focus on communities, through integrated implementation of sustainable environment management, climate change adaptation/mitigation and disaster risk management.

UNDP Strategic Plan Output: Output 1.5: Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)

Gender Marker rating: GEN 2

ATLAS Project ID: 00107310

ATLAS Output ID: 00107630

PIMS ID: 6159

Management Arrangement: *DIM*

Start Date: Dec 2017 / End Date: Feb 2019

Total budget: US\$100,000

Allocated resources:

- GEF US\$100,000

AGREED BY

 UNDP Resident Representative¹

Signature 

Day/Month/Year
Date

¹ Edit as necessary. Include other Agencies as necessary.

TABLE OF CONTENTS

I. Brief Description of the Initiation Plan/GEF PPG.....	3
II. Stakeholder Engagement, public disclosure and other requirements.....	4
III. GEF PPG ACTIVITIES.....	4
Component A: Preparatory Technical Studies & Reviews	4
Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes	8
Component C: Validation Workshop and Report	12
IV. Total Budget and Work Plan for GEF PPG	13
V. GEF PPG Activities timeframe and budget	14
VI. Mandatory Annexes	15
Annex 1: GEF CEO PIF/PPG Approval Letter	15
Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)	17

I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept on: **Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)** into a full project. As described in the project concept (PIF), this project's objective is the facilitation of the achievement of increased access to electricity in rural communities in Kiribati.

The following documents are to be consulted as background for the GEF PPG phase:

- PIF cleared for WP inclusion or GEF Council approved PIF (PFD and child project concept note for projects that are part of a program)
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc), using the 2017 standard template.
2. Mandatory annexes to the ProDoc, including gender analysis and action plan, and stakeholder engagement plan, among others, and project specific annexes (e.g. landscape profile, institutional and legal analysis, feasibility studies etc.).
3. GEF CEO Endorsement Request Document (CER Doc).
4. Validation Workshop report (since the project has a moderate SESP risk rating).

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

Key Dates for the GEF PPG

Milestone	Date	Notes
Internal submission date for UNDP-GEF review and clearance	January 2019	Must be at least two (2) months prior to CEO Endorsement Deadline
CEO Endorsement Deadline after which the project will be cancelled.	April 2019	Failure to submit a ProDoc and CEO ER to the GEF Sec by this deadline will lead to the automatic cancellation of the project by the GEF Secretariat.

Management Arrangements

The UNDP Pacific Office in Fiji (PaO) will lead the project development process and manage the GEF PPG budget in full consultation with the UNDP-GEF Technical Adviser. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team, and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF

PPG are completed on time and in line with UNDP and GEF requirements. The *Team Leader, Resilience & Sustainable Development (RSD) Unit* will chair the Working Group. Working Group members will include: the UNDP PaO RSD Unit staff, government partners, and key stakeholders; and the RTA as appropriate.

The GEF PPG team will be composed of the following:

- 1) International Specialist for Project Development (Team Leader) i.e. *Climate Change Mitigation Project Development and Management Expert*;
- 2) International Specialist in *Electric Power Systems Design and Sustainable Energy, as needed*;
- 3) National Specialist in *Outer Island Rural Electrification Development*;
- 4) *Stakeholder Engagement and Gender Specialist*.

Draft Terms of Reference (TORs) for each team member is included in Annex 2 of this Initiation Plan.

II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS

To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined in UNDP's Social and Environmental Standards (SES), the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries). A list of these stakeholders will be prepared and included in Annex to the project document.

The Social and Environment Screening Procedure (SESP) that was done during the project conceptualization phase, shows an overall safeguard risk rating of moderate. In this regard, the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will demonstrate strong country ownership and will become a key reference document should an environmental and social safeguard complaint/grievance be filed during project implementation.
2. Before CEO endorsement (if appropriate given the GEF cancellation policy) or at the latest by the LPAC meeting, the UNDP-GEF project document, SESP and related management plans, and other relevant information/documents (e.g. ProDoc annexes) will be made available to the public on the UNDP website or open.undp.org. These documents will be available 30 days in advance of the LPAC meeting.

III. GEF PPG ACTIVITIES

Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted, building on the PIF and the comments received to the PIF (e.g. from GEF Council and STAP).

a. Desktop and field-based studies and data collection

- Conduct of Studies and Surveys – This will involve the gathering, processing, and validation of data/information that are required to verify and confirm the earlier identified baseline projects on, and barriers to, increased cost-effective and reliable applications of RE technologies for

power applications in the electricity sector (on-grid and off-grid) of Kiribati, as well as RE (for non-power applications) and EE technologies in the country's energy end-use sectors (inclusive of those in the outer islands). The studies/surveys will be on previous, current, and planned scientific/technical, policy-related and economic development-related work in the country on the following:

- Initiatives (programs/projects/activities) of the Government of Kiribati (GOK), local governments and private sector in promoting and supporting the application of RE technologies for power and non-power applications; and EE technologies for specific energy consumption (SEC) improvements in the end-use sectors.
- Gaps in achieving the GOK's overall vision for the development and utilization of its RE resources, in general, and achieving the country's aspiration to increase the share of RE electricity in the national electricity generation, particularly the potential actions/measures to bridge such gaps.
- Nature and extent/magnitude of the barriers/problems, issues and constraints that are preventing the GOK, provincial governments and the private sector from promoting and supporting the widespread application of RE technologies/techniques for electricity production, and for productive and social uses, as well as the application and practice of EE.
- Initiatives of the GOK, local governments and the private sector in removing/minimizing the barriers/problems, issues and constraints to the widespread application of RE and EE technologies/techniques in the energy generation, and energy end-use sectors (particularly in the outer islands).
- Opportunities for the GOK, local governments and the private sector in implementing actions and measures geared towards the widespread application of RE and EE technologies/techniques in the energy generation, and energy end-use sectors (particularly in the outer islands).
- Nature and extent of barriers/problems, issues and constraints preventing the GOK, local governments and the private sector from making good and maximum use of opportunities for the widespread application of RE and EE technologies/techniques in the energy generation, and energy end-use sectors (particularly in the outer islands).
- Initiatives of the GOK/local governments/private sector in removing/minimizing the barriers/problems, issues and constraints that are preventing them in making use of opportunities to promote and support the widespread application of RE and EE technologies/techniques in the energy generation, and energy end-use sectors (particularly in the outer islands).
- Potential incremental actions/measures, which are applicable, feasible/doable and realistic to enhance the chances of achieving, or facilitate the achievement of, most of the major aspects of the GOK's vision regarding the development and utilization of the country's RE resources, application of EE technologies/techniques and achieving its set %RE electricity target.

The results of the studies/surveys will be used in confirming the following, which will be the bases of the project design:

- The business-as-usual (BAU) scenario in regards the % fossil fuel consumption reduction and the levels (%) of RE electricity generation, and EE improvement in the energy end-use sectors by 2025

- The pertinent enhancements to the baseline RE and EE projects in the country such as: (1) features that are not covered by such projects; (2) additional features that can be done; and, (3) follow-up interventions to enhance the realization of EE&RE targets.
- The alternative scenario in regards % fossil fuel consumption reduction and the levels (%) of RE electricity generation, and EE improvement in the energy end-use sectors by 2025 that can be facilitated or brought about by the proposed POIDIER project.

Other specific data/information that will be gathered; processed; and assessed as part of the studies/surveys that will be used in the project design include:

- Off-grid market assessment of the probable market for RE-based power system installations to replace diesel-based power generation.
- Requirements to be satisfied/met to enable the cost-effective implementation of RE-based power generation in the off-grid areas, particularly in the outer islands.
- Potential communities/villages in the outer islands where the implementation, operation and maintenance of non-fossil fuel fired power generation systems using feasible RE resources, in general, and particularly solar energy, can be feasibly and cost-effectively carried out, as part of the country's rural electrification program.
- General status of the attitude and outlook in the energy and energy end-use sectors (in all 3 major island groups) regarding RE and EE technology applications in support of socio-economic development, and anticipated future RE & EE technology developments and applications in the country;
- Programs and policies (including laws/regulations) of the national and local government concerning the development and utilization of the country's RE resources (implemented, ongoing and planned);
- Plans and strategies of the private sector in promoting and supporting the wide-scale use of RE for power and non-power applications;
- Suppliers of RE and EE technology design and engineering services and RE and EE system hardware in Kiribati, and in the Pacific region;
- Current installed and planned additional capacities of RE-based energy systems (power and non-power applications);
- Forecast total energy and electricity demand in Kiribati (2020-2030);
- Current technical barriers/problems and constraints that are preventing the country in implementing RE Technology applications for power and non-power applications;
- Current and planned initiatives (e.g., projects) of the private sector in engaging in RE and EE business opportunities in Kiribati;
- Applicable cost-effective RE-based power generation technologies that are feasible in Kiribati, including technologies for enhancing the electricity system performance and reliability;
- Applicable technologies for enhancing electricity system stability, reliability and energy performance;
- Information on the characteristics of the various available RE resources in Kiribati, including RE resource production;
- General interest, attitude, and capacity of the private sector in Kiribati to actively and substantially participate in the country's rural electrification program as technical service provider, financier, and operator.
- Available business model for sustainable RE resource production, processing and supply and pricing for fueling RE-based power generation systems;

- Other available data and information that are pertinent in the design of appropriate interventions to reduce if not eliminate the barriers to the cost-effective and reliable applications of RE in the energy generation and energy end-use sectors (inclusive of those in the outer islands); as well as those for removing barriers to the implementation of feasible EE technologies.
- Assessment of the socio-economic and environmental impacts of identified baseline projects to ensure the prevention of any negative consequences to local populations, particularly focusing on vulnerable groups or to men, women and children. Potential gender equity issues shall be closely looked at.
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

b. Gender Analysis

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project's context, and to identify appropriate measures to address these and promote gender equality and women's empowerment. The analysis will form the basis of a Gender Action Plan and Budget to guide gender mainstreaming during project implementation. The Gender Analysis, and the Gender Action Plan and Budget will be included as Annexes to the Project Document.

c. Environmental and Social Safeguard Assessments

The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase determined the overall risk categorization of this project as Moderate and highlighted potential safeguard risks to be further assessed during the PPG phase.

The purpose of these assessments is to identify ways to avoid negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures will be identified, in line with the UNDP Social and Environmental Standards. If the required assessments cannot be finalized during the PPG exercise, these will be completed during the first phase of project implementation.

d. Conduct of Logical Framework Analysis (LFA)

The LFA is for verifying and firming up the project results framework, i.e., the project planning matrix (log frame) that is presented in the GEF-approved POIDIER PIF. This will be conducted through a workshop attended by the relevant stakeholders and partners of the proposed project whose inputs about the barriers/issues/concerns as well as opportunities, along with the data/information on these as gathered from the studies and surveys conducted, will be used in verifying and firming up the project: (a) objective; (b) outcomes that will contribute to the realization of the project objective; (c) outputs that have to be produced to contribute to the realization the project outcomes; and, (d) baseline and incremental activities that will deliver the project outputs. The appropriate SMART indicators will be developed for the project objective, and

for each project outcome². The corresponding baseline and target values, means of verification and critical assumption (if necessary) for each indicator will also be identified by consensus among the project stakeholders and partners. The project log frame (Results Framework) will be finalized based on consensus among the project stakeholders and partners. Special attention will be made to include socio-economic and gender-disaggregated indicators. Throughout the LFA process, an analysis of the gender equity aspects shall be made to ensure that the relevant project interventions and results promote gender equality.

e. Identification and assessment of demonstrations that will be implemented in the project:

Based on the above reviews, and through consultation with stakeholders, the targeted project *pilot/demonstration* sites will be identified. Based on the available ongoing and planned projects on RE-based energy generation and EE technology applications of the GOK, the private sector entities, NGOs, and the communities, the demos may be on the following:

- Application of the integrated energy planning techniques;
- Application of feasible RE and EE technologies in power generation, as well as in various energy-end use sectors;
- Design, engineering and financing of feasible RE and EE technologies; and,
- Piloting of specific policies and strategies for the application of RE and EE techniques, measures and practices, RE-based distributed generation serving mini/micro-grids.

f. Financial planning

Proposed co-financing during the project concept stage will be confirmed and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF PPG Team shall conduct stakeholder meetings for identifying entities that are currently doing or planning to do activities that are similar or complementary to what the proposed project is going to implement. These will be to mobilize and engage stakeholders, and negotiate partnerships with them to align their activities and the project to build synergies, as well as for further exploring multilateral and bilateral co-financing opportunities.

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

- Detailed design of the project components and activities - Based on the finalized project log frame, and from the evaluation and analyses of the results of, and data/information derived from, the studies and surveys conducted for use in the design of specific project activities, the detailed design of the identified project activities will be carried out. The baseline activities can be retained as is, or can either be modified with additional/supplementary incremental activities or completely changed to fit the required interventions. The fully incremental activities are to be designed to remove identified barriers and for enhancing the realization of global environmental benefits (in terms of CO2 emissions reduction). Part of the design of the activities is the conduct of the feasibility analysis

² Although outputs are not required in the log frame that will be included in the Project Document, it is advisable to also define indicators for each project output for use in the project monitoring.

of the selected demo and replication projects, as well as the conduct of at least the basic engineering design to quantify the potential energy savings and direct GHG emissions that can be derived from the demos and replications. The schedule and budget of each identified project activity (baseline and incremental) and the demos/pilots and replications will also be determined, as well as the delineation of responsibilities (among the stakeholders and partners) in implementing the activity.

Part of the project preparation activities for the POIDIER Project is addressing the comments and recommendations of the GEFSec, GEF Council, and the Scientific and Technical Screening Panel (STAP) Report for this project. These comments and recommendations will be adequately addressed and considered in the design of the relevant project activities. All pertinent and applicable specific scientific/technical challenges or omissions/opportunities that are recommended to be addressed will be done in the detailed design of the project activities.

- Preparation of the UNDP-GEF Project Document (ProDoc) and GEF CEO Endorsement Request (CER) Document based on the GEF-approved PIF – The ProDoc will be prepared using the official UNDP-GEF template (2017 annotated version) and will follow strictly the guidelines for each of the sections of the ProDoc. Specifically, in the section: Project Goal, Objective, Outcomes and Output/Activities, the description of the activities should be on the “how” aspect, i.e., the process or procedures to be carried out to deliver the relevant output from each activity. The CER Document will also be prepared using the official UNDP-GEF template (2017 annotated version). The contents of the CER Document shall be consistent with that in the ProDoc, and shall among others include the detailed description of actions taken in response to the STAP’s comments and recommended actions. As mentioned earlier, the relevant comments and recommendations from the GEFSec, GEF Council members and the STAP shall be adequately addressed and considered in the preparation of these 2 documents. After the technical review of these 2 documents, the UNDP-GEF technically cleared ProDoc and CER document will be submitted to the GEFSec along with the co-financing letters. Work in this activity also includes responding to comments/questions raised by the GEFSec on the ProDoc and CER Document. When the GEFSec technically clears the responses to their comments and questions, the ProDoc and CER Document are finalized and resubmitted to the GEFSec.
- The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.
- Preparation of the UNDP-GEF ProDoc includes a specific focus on the following areas, which do not exhaustively capture the required ProDoc content:

a. Theory of Change

The theory of change (ToC) is outlined in the PIF, and is further elaborated during the logical framework analysis (LFA), which will come up with the pertinent project planning matrix (log frame). A properly defined log frame will embody the theory of change that the project intends to bring about. The approach for achieving the change will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach.

b. Project Results Framework (Log Frame)

As previously mentioned in Component A, based on the project LFA, the Results Framework (LFA) will be defined with appropriate quantitative SMART indicators and mid-term and end-of-project targets for the objective and for each outcome³.

c. Monitoring and Evaluation (M&E) Plan and Budget

A detailed multi-year budget (about 3 to 5 % of the GEF grant) will also be prepared following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF Monitoring and Evaluation (M&E) Policy. Based on the agreed project planning matrix (log frame), a M&E plan will be developed showing the delineation of responsibility, estimated budget, schedule and frequency of the conduct of each M&E activity. Also, based on the project log frame, an Annual Targets table shall be prepared. The on-the-ground monitoring could be undertaken by national institutes/universities as appropriate. The roles of various groups involved in project M&E will be clarified, including how project-level monitoring links with data collected at the national level, and the frequency of monitoring. The monitoring tools that will be used will be specified. Lastly, a sustainability plan that will outline the principles and guidelines for ensuring the long-term sustainability of project achievements will be prepared. Such plan will also outline an exit strategy, seeking the continuation of key activities and achievements without the need of long-term international financing.

d. Stakeholder Engagement Plan

Based on the consultations undertaken during the PPG phase, a Stakeholder Engagement Plan will be developed.

e. Gender Action Plan and Budget

Based on the Gender Analysis conducted in **Component A**, the Gender Action Plan and Budget will be prepared to outline the gender-specific outputs to be delivered during project implementation to promote gender equality and women's empowerment and to ensure that inequalities are not exacerbated. As part of the work of preparing the Gender Action Plan, indicators will be proposed for inclusion in the Results Framework (project log frame) to facilitate the monitoring of the proposed gender mainstreaming actions.

f. Social and Environmental Standards

In line with the assessments conducted during **Component A** (above) and in line with UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes, the SESP will be finalized and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document.

The GEF PPG Team shall address the specific recommendations that were provided in the Environmental and Social Screening of the project particularly on the: (1) detailed assessment of the

³ The log frame will have maximum of 2-3 indicators for the Objective and each Outcome, with the aim of keeping the total number of indicators (and that require annual reporting to the GEF) to 15-16. There will be indicators for the project objective that are gender-responsive and/or pertains to socio-economic benefits. Realistic mid-term targets and end-of-project targets that can be achieved by project closure will be set and sources of verification/data and assumptions (if necessary) for each indicator will be provided.

identified potential environmental risks will be carried out together with the project proponent (MPWU-EPU), and other project partners; (2) assessment of the exact requirements for ensuring the environment-friendly and cost-effective processing of RE resources for energy use; (3) coordination with the project partners in coming up with the appropriate approach of designing the demo/pilot and replication projects to ensure negative environmental impacts; (4) assessment to determine if further environmental (and if necessary social) review and management is required for the demonstrations that will be carried out under the proposed project; (5) alignment of the project with UNDP's environmental and social policies; and, (6) analysis of gender equity aspects shall be always be made to ensure that the activities are sensitive to, and promote gender equality. Based on the above, the Environmental and Social Screening shall be finalized.

Mitigation and management measures for moderate and high risks will be developed and included in the project document, or included as a separate management plan and included as an Annex to the project document, as required per UNDP's SES. If the mitigation and management measures cannot be fully detailed at the PPG phase (e.g., sites have not been determined), an environmental and social management framework (ESMF) will be prepared outlining the steps to be taken during the first phase of project implementation to address the moderate and high risks. The ProDoc will clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared; the plan(s) have been disclosed and approved by the Project Board.

g. GEF Tracking Tool(s)

The required GEF Tracking Tools will be prepared, in line with the relevant GEF objectives, and included as an Annex to the ProDoc. Indicators from the GEF Tracking Tools can be included in the Results Framework as appropriate. Part of the M&E task is the preparation of the GEF CCM Tracking Tool for the project, including well defined responsibilities for completing the mid-term and terminal GEF Tracking Tools.

h. Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Together with the stakeholders, the organizational structure governing the project will be decided. This will include identification of the members that will make up the project board. Following up on the LFA exercise, consultations with the project stakeholders, project partners, project implementing partner and other key agencies in the development of the project strategy, will be conducted to ensure a strong national ownership. Such consultations are also for: (a) securing agreement(s) on project implementation arrangements including roles, responsibilities, and accountabilities of lead and partner agencies.

i. Completion of the required official endorsement letters

Part of the PPG activities is the securing of the required co-financing letters from participating government institutions, bilateral development partners, multilateral development partners, private sector entities and NGOs who wish to provide cash or in kind contributions to the project, as well as from the UNDP.

Component C: Validation Workshop and Report

Since the proposed project has a moderate overall safeguards risk rating, a validation workshop will be organized and conducted with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document, and a validation workshop report will be prepared.

IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Award ID:	00107310
Award Title:	Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)
Business Unit:	FJI10
Project Title:	Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)
Project (PIMS) ID:	00107630
Implementing Partner:	UNDP

GEF Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for project Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)	UNDP	62000	GEF TRUSTEE	71200	International Consultants	55,000	A
				71300	Local Consultants	36,000	B
				71600	Travel	5,000	C
				72500	Supplies	1,000	D
				74500	Miscellaneous Expenses	1,000	E
				75700	Trainings	2,000	F
PROJECT TOTAL						100,000	

Budget Note	Items	Total estimated person weeks	Budget (US\$)	Budget Note
A	Project Development Specialist, PDS	22 (@US\$2,500 per week)	55,000	Please see Annex 2 for key responsibilities.
B	Project Development Coordinator, PDC	22 (@US\$1,200 per week)	26,400	
B	Stakeholder Engagement and Gender Specialist	8 (@US\$1,200 per week)	9,600	
C	Travel to outer islands	2	5,000	
D	Office supplies		1,000	
E	Workshop expenses		1,000	
F	Workshop venue		2,000	

V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

PPG Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	Month 13 ⁴	Month 14 ⁴	Month 15 ⁴	Month 16 ⁴	Budget (US\$)
Component A: Technical studies, etc.																	
Component B: Formulation of ProDoc, etc.																	
Component C: Validation Workshop																	
Delivery of final outputs																	

⁴ For full-sized project, only

VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

October 30, 2017

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

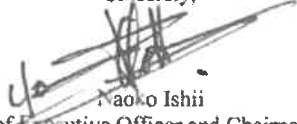
Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9905
Agency(ies):	UNDP
Agency ID:	6159 (UNDP)
Focal Area:	Climate Change
Project Type:	Full-Sized Project
Country(ies):	Kiribati
Name of Project:	Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)
Indicative GEF Project Grant:	\$5,379,452
Indicative Agency Fee:	\$511,048
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
Funding Source:	GEF Trust Fund

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Break-down of Indicative Agency Fee				
Agency	Trust Fund	40% Fees to be committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US\$)
UNDP	GET	\$204,419	\$306,629	\$511,048

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. Please ensure that your final project document, with all Secretariat and Council comments fully addressed, is submitted such that CEO endorsement can be provided within 18 months of Council approval of the work program.

Sincerely,


Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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

The following tables provide a summary of the required types of expertise that will be needed for the project design and development. The information provided will be used as guidance to support the preparation of the TORs for each expert that will be engaged. The cost per consultancy week and number of weeks provided below are indicative only and may be revised.

Position, Type and Cost	Role, Deliverables and Qualifications
<p>CCM Project Development and Management Expert (IC)</p> <p>Position: <i>Climate Change Mitigation</i> Project Development Specialist, PDS (GEF PPG Team Leader)</p> <p>Type: IC</p> <p>Cost per person week: US\$2,500</p> <p>Number of person weeks needed: 22 weeks</p>	<p>Role: The <i>Climate Change Mitigation</i> Project Development Specialist will be the GEF PPG Team Leader and will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. S/he will be responsible for managing all consultants on the GEF PPG Team, and coordinating the Team's work.</p> <p>Responsibilities</p> <ol style="list-style-type: none"> 1) <u>Management of the GEF PPG Team</u> <ol style="list-style-type: none"> a. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs); b. Facilitate project development that is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. 2) <u>Preparatory Technical Studies and Reviews (Component A):</u> With inputs from the other national and international consultants, as detailed in their respective TORs: <ol style="list-style-type: none"> a. Compile baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices as appropriate; b. Oversee the stakeholder analysis and consultations and ensure that they are complete and comprehensive; c. Facilitate the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project's strategy, theory of change and results framework; d. Ensure action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the PIF stage ("pre-screening") are fully implemented during the PPG, and update that screening in an iterative fashion throughout the PPG, as appropriate; e. Conduct/oversee the identification of the project sites, with documentation of selection criteria; f. Oversee the consultations with partners regarding financial planning; and g. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs.

	<p>3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> With inputs from the other national and international consultants, as detailed in their respective TORs, and based on international best practice:</p> <ol style="list-style-type: none"> a. Elaborate present and articulate the project’s theory of change; b. Facilitate the finalization of the Results Framework (log frame) in line with UNDP-GEF policy; c. Develop a detailed Monitoring and Evaluation Plan and Budget; d. Oversee and ensure the preparation of a Stakeholder Engagement Plan; e. Oversee and ensure the preparation of a Gender Action Plan and Budget; f. Update the SESP based on assessments undertaken during Component A, and ensure the development of environmental and/or social management plan(s) for all risks identified as Moderate or High in the SESP; g. Prepare the required GEF tracking tool(s); h. Secure and present agreements on project management arrangements; i. Assist in securing the required official co-financing letters; and j. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the required templates.⁵ <p>4) <u>Validation Workshop (Component C):</u></p> <ol style="list-style-type: none"> a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans; and b. Oversee all necessary revisions that arise during the workshop. c. Ensure completion of Validation Workshop Report. <p>5) <u>Final Deliverables:</u></p> <ol style="list-style-type: none"> a. Logical Framework Analysis Workshop Report b. Well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; c. Completed GEF CEO Endorsement Request; d. All documentation from GEF PPG exercise (including technical reports, etc.); and e. Validation Workshop Report. <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master’s degree or higher in a relevant field, such as [relevant engineering (energy and/or environment) discipline, or other closely related technical fields]; ▪ Minimum of 10 years of demonstrable experience in the technical area of <i>renewable energy and energy efficiency</i>; ▪ Fluency in written and spoken English; • Required knowledge of RET applications, particularly in the island setting; • Proven experience in designing and developing projects based on a logical framework analysis; • Proven experience in analyzing baseline scenarios, and formulating realistic alternative scenarios;
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⁵ Please verify with the UNDP-GEF team that the correct templates are being used.

	<ul style="list-style-type: none"> • Proven experience in working on, or contributing to design and development of climate change mitigation and energy (energy efficiency and renewable energy) projects; • Track record of work on development projects in Kiribati, and/or any small island developing states in the Pacific and other regions; ▪ Demonstrated understanding of issues related to gender and climate change mitigation; experience in gender sensitive development.
<p>National Specialist in <i>Outer Island Rural Electrification Development/Project Development Coordinator (PDC)</i></p> <p>Position: <i>Outer Island Rural Electrification Development/Project Development Coordinator (PDC)</i></p> <p>Type: LC</p> <p>Cost per person week: US\$1,200</p> <p>Number of person weeks needed: 22 weeks</p>	<p>Role The principal responsibilities of the project design coordinator (PDC) will be: (1) to organize and manage the project preparation activities, particularly in the data/information gathering and the general stakeholder consultation and focused stakeholder consultation (e.g., national government agencies, private sector, donors, project implementation partners and co-financers, etc.) areas; and, relatedly, (2) to provide strong support to the project design specialist (PDS) by providing inputs to the various sections and annexes of the three documents required for submission to the GEF ((i) “the ProDoc”, (ii) the “CEO Endorsement Request/CER”, (iii) and the “GHG Tracking Tool”).</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) First PPG mission detailed agenda and implementation, with implementation documented via submission of final, realized agenda to UNDP. 2) Post PPG mission #1 package of inputs of PDC, including: Inputs of PDC supporting revision of project outputs and design of project activities. Inputs supporting design of project indicators and determination of baseline and target values of those indicators. Input of coordinating the other PDT members to provide inputs on all the foregoing. 3) Second PPG mission detailed agenda and implementation, with implementation documented via submission of final, realized agenda. 4) Post PPG mission #2 package of PDC inputs: Inputs supporting detailed demo descriptions and documentation confirming demo partners/ communities. Input of coordinating the other PDT members to provide inputs on all the foregoing. 5) Package of various PDC inputs to the ProDoc, CER, and Tracking Tool, based on the requests of the PDS, STA, and UNDP-PO. Input of coordinating the other PDT members to provide inputs on all the foregoing. 6) Co-financing letters. 7) Inputs supporting the PDS, STA, and UNDP-PO in responding to comments from UNDP HQ, the GEF Secretariat, and the GEF Council, prior to final clearance of the project by the GEF. 8) Documentation of all completed specific technical assistance and project coordination activities, including inputs provided to the PDS for use in the project design and development. 9) Report on the highlights of the consultancy services provided, including findings and recommendations on the consultancy assignment performed and completed. <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Have at least a bachelor and preferably postgraduate degrees in relevant applied science and engineering fields (preferably in mechanical, electrical, industrial and energy engineering).

	<ul style="list-style-type: none"> ▪ Have proven work experience in RE, EE and low carbon development type project design, preferably those related to rural and community-based energy systems, including experience in the design and implementation of RE/EE and low carbon development type projects, especially in SIDS. ▪ Have proven work experience in the design and development of energy projects, preferably with any GEF agency like the UNDP. ▪ Have good track record in project research and project design and management, with UNDP experience being an asset. ▪ Familiar with, and updated on, various international projects on RE/EE and low carbon technology applications, particularly in SIDS. ▪ Have very good command of oral and written English and I-Kiribati language.
<p>GENDER⁶ & SAFEGUARDS EXAMPLE</p> <p>Position: Stakeholder Engagement and Gender Specialist</p> <p>Type: LC</p> <p>Cost per person-week: US\$1,200</p> <p>Number of person-weeks needed: 8 weeks</p>	<p>Role The Stakeholder Engagement and Gender Specialist will conduct an analysis and overall assessment of the following: different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project’s context, and to identify appropriate measures to address these and promote gender equality and women’s empowerment.</p> <p>Responsibilities</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> a. Lead and advise on the stakeholder analysis and consultations and ensure that they are complete and comprehensive; b. Prepare the gender analysis and work closely with the Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework; c. Provide inputs on action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the PIF stage (“pre-screening”), and update that screening in an iterative fashion throughout the PPG exercise, as appropriate; and d. Support completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B)</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> a. Prepare the Stakeholder Engagement Plan; b. Prepare the Gender Action Plan and Budget; c. Contribute to the updated the SESP, as needed, based on assessments undertaken during Component A; d. Support the development of environmental and/or social management plan(s) for all risks identified as Moderate or High in the SESP; and e. Support the agreements on project management arrangements. 3) <u>Validation Workshop (Component C)</u>: <ol style="list-style-type: none"> a. Contribute to the validation workshop; and b. Support all necessary revisions that arise during the workshop, as appropriate. 4) <u>Final Deliverables</u>:

⁶ Standard template for hiring a gender expert as part of the PPG Team is available [here](#).

	<p>a. <i>Report on the Gender Assessment of Outer Island Rural Electrification in Kiribati</i></p> <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master's degree or higher in a relevant field, such as <i>Gender, Energy, Development, etc.</i>; ▪ Minimum 10 years of demonstrable experience in the technical area of <i>Gender, Energy, Development, etc.</i>; ▪ Fluency in written and spoken English and I-Kiribati; • Familiarity of RE and EE technology applications, particularly in the outer island setting; • Proven experience in designing and developing projects based on a logical framework analysis; • Proven experience in analyzing baseline scenarios, and formulating realistic alternative scenarios; • Proven experience in working on, or contributing to design and development of Gender and Development projects; • Track record of work on development projects in Kiribati, and/or any small island developing states in the Pacific and other regions; ▪ Proficiency in understanding of issues related to gender and climate change mitigation; and experience in gender sensitive development.
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Empowered lives.
Resilient nations.

27 November 2017

Dear Ms. Lubrani,

Subject: Project Preparation Grant: Kiribati – Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)
PIMS No. 6159 - ATLAS BU: FJI10
Proposal No.: 00107310 - Project No.: 00107630

I am pleased to delegate to you as the UNDP Resident Representative the authority to sign the Initiation Plan for the above-mentioned Project Preparation Grant (PPG) on behalf of UNDP, and to commence development of the main project. The Initiation Plan, which amounts to a total of USD 100,000, has received its final approval in accordance with the established GEF procedures (CEO approval letter attached for ease of reference).

I am also pleased to provide a summary of the next steps in the process and to outline, for your easy reference, the mandatory GEF-specific project financial and results management requirements.

Next steps and mandatory GEF-specific requirements:

1. *Issuance of Authorized Spending Limit (ASL)*: To facilitate a quick start to the PPG, once the Initiation Plan is signed, please kindly ensure that the Atlas-generated *Annual Work Plan (AWP)* based on the *Total Budget and Annual Work Plan* in the attached document, along with a copy of the signed cover page, is sent to Mr. Manuel Soriano, Regional Technical Advisor (RTA) in Bangkok.

Any proposed budget revisions should be forwarded to the UNDP RTA together with a clear explanation of the changes proposed as any significant changes require review and approval. In addition, please note that UNDP-GEF is not in a position to increase the project budget above the amount already approved by the GEF Council. Therefore, any over-expenditure on this project would have to be absorbed by other Country Office resources.

2. *Fee*: As an Implementing Agency of the GEF, UNDP earns a fee upon approval of each project which is to be used to cover specific project assurance and oversight costs incurred by UNDP. For the Country Office, these services are related to the provision of project cycle management services, as detailed in Annex 2.

The total fee over the lifetime of the above-mentioned project for these Country Office support services will be USD 3,124.55. This fee will be paid directly by the UNDP-GEF Unit to the XB account of the Country Office,

Ms. Osnat Lubrani
Resident Representative
UNDP Pacific Office

United Nations Development Programme

based on project delivery, audit compliance, and compliance with the GEF project management requirements outlined below.

As noted above, the GEF fee is provided to cover the project cycle management service indirect costs as detailed in Annex 2. At the Country Office level, project cycle management services performed by UNDP Country Offices are broadly analogous to General Management Support (GMS) and cover support to project development and implementation stages. The UNDP-GEF Unit will support the Country Office by providing a suite of specialized technical services as required by the GEF and detailed in Annex 2.

3. *GEF-specific project management requirements:*

- Any changes with respect to the objectives of the initiation plan will have to be discussed with and approved by the RTA, as they will have to be reported to the GEF.
- All efforts should be made to completely commit the GEF PPG resources by the time the project document is submitted to the GEF for CEO endorsement. A report on the use of the PPG resources is included in Annex C of the GEF CEO Endorsement template.
- If the PPG activities and resources have not been fully completed/committed by CEO endorsement, the same reporting table must be submitted with the first project implementation report (APR/PIR) due one year after project document signature.
- This preparatory phase must be operationally completed in Atlas once the main project is endorsed by the GEF CEO. Financial closure should follow within 12 months, but preferably within the same calendar year.
- In order to accord proper acknowledgement to the GEF for providing funding, full compliance is needed with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: <https://www.thegef.org/gef/node/4373>. Full compliance is also required with UNDP's branding guidelines. The UNDP Brand Manual can be accessed via the UNDP Communications Toolkit: <https://intranet.undp.org/unit/pb/communicate/communicationstoolkit/Pages/default.aspx>

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In concluding, I would like to assure you of UNDP-GEF's and my personal commitment to successful implementation of the Initiation Plan. The RTA is at your disposal for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me.

Yours sincerely,



Adriana Dinu
Executive Coordinator
UNDP-Global Environmental Finance
Sustainable Development Cluster
Bureau for Policy and Programme Support

cc: Mr. Haoliang Xu, Assistant Administrator and Regional Director, RBAP
Ms. Valerie Cliff, Deputy Regional Director, BRH
Mr. Gordon Johnson, Regional Team Leader, Resilience and Sustainability, BRH
Mr. Mazen Gharzeddine, Country Programme Specialist, COSQA, BRH
Ms. Sitara Syed, CO Liaison & Coordination Specialist, COLAC, NY
Mr. Manuel Soriano, UNDP-GEF Regional Technical Advisor, Bangkok
Ms. Winifereti Nainoca, Programme Manager, UNDP Fiji MCO

United Nations Development Programme

Annex 1: CEO approval letter for PPG

United Nations Development Programme



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

October 30, 2017

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9905
Agency(ies):	UNDP
Agency ID:	6159 (UNDP)
Focal Area:	Climate Change
Project Type:	Full-Sized Project
Country(ies):	Kiribati
Name of Project:	Promoting Outer Island Development through the Integrated Energy Roadmap (POIDIER)
Indicative GEF Project Grant:	\$5,379,452
Indicative Agency Fee:	\$511,048
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
Funding Source:	GEF Trust Fund

United Nations Development Programme

Ms. Adriana Dinu


- 2 -

October 30, 2017

Break-down of Indicative Agency Fee				
Agency	Trust Fund	40% Fees to be committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US\$)
UNDP	GET	\$204,419	\$306,629	\$511,048

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. Please ensure that your final project document, with all Secretariat and Council comments fully addressed, is submitted such that CEO endorsement can be provided within 18 months of Council approval of the work program.

Sincerely,


Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2: Project Cycle Management Services

Stage	Country Office ¹	UNDP/GEF at regional and global level
Project Development	<i>Initiation Plan:</i> <ul style="list-style-type: none"> • Coordination, management and financial oversight of UNDP Initiation Plan • Discuss management arrangements 	RTA and PA role: <ul style="list-style-type: none"> • Assist in preparation of UNDP Initiation Plan • Technical support, backstopping and troubleshooting. • Support discussions on management arrangements • Facilitate issuance of DOA
	<i>Project Document:</i> <ul style="list-style-type: none"> • Support project development, assist proponent to identify and negotiate with relevant partners, co-financiers, etc. • Undertake environmental and social screening of project before PAC. Ensure Social and Environmental Standard Procedure (SESP) documentation is signed by the Resident Representative or Chair of PAC meeting and attached as Annex to the Project Document. • Review, appraise, and finalize Project Document. • Negotiate and obtain clearances and signatures – Government, UNDP, Implementing Partner, co-financiers, etc. Coordinate LPAC and document meeting decisions. • Respond to information requests, arrange revisions etc. • Prepare operational and financial reports on development stage as needed. 	RTA role: <p>Sourcing of technical expertise.</p> <ul style="list-style-type: none"> • Verification of technical reports and project conceptualization. • Guidance on SOF expectations and requirements. • Negotiate and obtain clearances by SOF • Respond to information requests, arrange revisions etc. • Quality assurance and due diligence.
<p><i>Key UNDP/GEF management performance indicators/targets for Project Development:</i></p> <ol style="list-style-type: none"> 1. Time between PIF approval to CEO endorsement for each project: <ul style="list-style-type: none"> • Target for GEF trust fund, LDCF, and SCCF projects: FSP = 16 months or less, MSP 10 months or less. 2. Time between CEO endorsement to project document signature: <ul style="list-style-type: none"> • Target = 2 months or less 		

¹ As per UNDP POPP with additional SOF requirements where relevant.

