



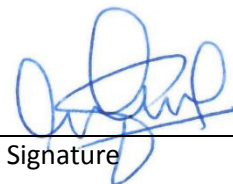
Empowered lives.  
Resilient nations.

## UNDP-GEF PPG Initiation Plan

<p><b>Project Title:</b> Support for Integrated Water Resources Management to Ensure Water Access and Disaster Reduction for Somalia’s Pastoralists</p> <p><b>Country:</b> Somalia</p> <p><b>UNDP Country Programme Outcome:</b> Progress from protracted socio-economic and environmental fragility and recurrent humanitarian crises</p> <p><b>UNDP Strategic Plan Signature Solution 3:</b> Enhance national prevention and recovery capacities for resilient societies</p> <p><b>Gender Marker rating:</b> <i>GEN 2</i></p>	
<p>Atlas Project ID (formerly Award ID): 00106605</p> <p>Atlas Output ID (formerly Project ID): 00107263</p> <p>UNDP PIMS ID: 5464</p> <p>GEF PMIS ID: 8028</p> <p>Management Arrangement: DIM</p>	<p><b>Total budget:</b> <b>US\$ 200,000</b></p> <p>Allocated resources:</p> <ul style="list-style-type: none"> <li>• GEF <b>US\$ 200,000</b></li> <li>• Government</li> <li>• UNDP</li> </ul>

AGREED BY

Peter de Clercq  
UNDP Resident Representative

  
Signature

06/02/2018  
Date

---

## 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.....	5
PPG Component A: Preparatory Technical Reviews & Studies and Stakeholder Consultations .....	5
PPG Component B: Formulation of the UNDP-GEF Project Document, GEF CEO Endorsement Request, and Mandatory and Project Specific Annexes .....	7
IV. Total Budget and Work Plan for GEF PPG .....	13
V. GEF PPG Activities timeframe and budget .....	15
VI. Mandatory Annexes .....	16
Annex 1: GEF CEO PIF/PPG Approval Letter .....	16
Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG) .....	18
Annex 3a: Comments on the PIF from GEF Secretariat .....	23
Annex 3b: Comments on the PIF from GEF STAP and preliminary responses from RTA .....	33
Annex 3c: Comments on the PIF from GEF Council .....	<b>Error! Bookmark not defined.</b>

---

## I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

### **Objective & Final Outputs**

The objective of the GEF PPG is to develop the project concept into a full project: “Support for Integrated Water Resources Management to Ensure Water Access and Disaster Reduction for Somalia’s Pastoralists”. As described in the project concept (PIF), this project aims to build the climate resilience of pastoralists in Somalia by reinforcing technical and operational capacities to manage water resources sustainably.

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

- PIF approved by GEF Council
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- [Annotated UNDP-GEF Project Document Template](#) and associated guidance included therein
- GEF CEO Endorsement Request Template and related guidance
- GEF-6 versions of the appropriate UNDP and GEF Tracking Tool templates and related guidance

The final outputs of the GEF PPG are:

- UNDP-GEF Project Document (ProDoc), using the latest standard template.
- Mandatory annexes to the ProDoc, including gender analysis and action plan, and stakeholder engagement plan, among others, and project-specific annexes.
- GEF CEO Endorsement Request.
- Validation Workshop report (as appropriate for projects with a moderate and high 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**

<b>Milestone</b>	<b>Date</b>	<b>Notes</b>
<b>Internal submission date</b> for UNDP-GEF review and clearance	31 May 2018	Must be at least two (2) months prior to GEF CEO Endorsement Deadline
<b>GEF CEO Endorsement Deadline</b> after which the project will be cancelled.	19 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.

### **PPG Management Arrangements**

The UNDP Country Office in Somalia will lead the project development process and manage the GEF PPG budget in full consultation with the UNDP-GEF Regional Technical Advisor. 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 Portfolio Manager, Resilience and Climate Change, will chair the Working Group. Working Group members should include:

- UNDP Country Office in Somalia and UNDP-GEF Regional Technical Advisor

- Ministry of Energy and Water Resources
- GEF Operational Focal Point for Somalia
- Designated members from the Federal Member States (nominations to be secured by the GEF Operational Focal Point)
- Ministry of Livestock, Forest and Range
- Ministry of Planning, Investments and Economic Development
- Any other coopted member on the suggestion of the GEF OFP

The GEF PPG team will be composed of the following:

- International Specialist in Climate Change Adaptation and UNDP/GEF Project Development (PPG Team Leader)
- Specialist in Social and Environmental Safeguards
- Specialist in Rangeland Management
- GIS/Mapping Expert
- Local Consultant (Data Collection)
- Specialist in Gender Mainstreaming and Stakeholders Engagement

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). These consultations will be complemented with the on-going formulation of other projects of UNDP and development partners. A list of these stakeholders will be prepared and included in Annex to the project document.

If the Social and Environment Screening Procedure (SESP) included in Annex to the project document, has an overall safeguard risk rating of moderate or high, 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 must 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 GEF 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](http://open.undp.org). It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

### III. GEF PPG ACTIVITIES

#### PPG Components:

##### A. Component A: Technical reviews & studies and Stakeholders Consultations

The following reviews will be conducted, building on the PIF and the comments received about the PIF from GEF Secretariat, GEF Council and STAP (see Annexes 3a-c).

This research should produce the background information required to prepare the ProDoc and GEF CEO Endorsement Request, including but not limited to:

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees developed in consultation with project stakeholders, for a robust Theory of Change (to be prepared in PPG Component B, below);
- Review of relevant past and ongoing projects for lessons; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat

	UNDP CO	UNDP-GEF RTA	PPG Team Leader	Safeguards	Rangelands	Gender & Local Stakeholder	Data Collection	GIS/Mapping
			IC	UNV	National	National		
<ul style="list-style-type: none"> <li>• Regular exchanges between the UNDP Country Office, UNDP-GEF RTA, Government Partners and further stakeholders on the development and finalization of the PRODOC and GEF CEO Endorsement Request package.</li> </ul>	Lead on site	Join remotely	Lead on site or remotely	Join on site or remotely	Join on site	Join on site		
<ul style="list-style-type: none"> <li>• PPG inception:               <ul style="list-style-type: none"> <li>○ at the onset of the PPG, bring together the leading stakeholders from government, partners and UNDP (country office and RTA), as well as the team of PPG consultants to agree on process and roles and quality assurance; depending on timelines and availability, this may involve participants participating online.</li> </ul> </li> </ul>	Lead on site	Join on site or remotely	Lead on site or remotely	Join on site or remotely	Join on site	Join on site		
<ul style="list-style-type: none"> <li>○ prepare a short PPG methodology and work plan outline in consultation with the other consultants with delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs)</li> </ul>			Lead	Support	Support	Support		
<ul style="list-style-type: none"> <li>• Stakeholder analysis and engagement:               <ul style="list-style-type: none"> <li>○ building on the tentative list of stakeholders already identified in the PIF, further elaborate the analysis of relevant stakeholder, especially</li> </ul> </li> </ul>	Support	Support	Lead		Support	Support	Support	Support

with regard to their contribution and roles in the project; in response to GEF STAP and Council comments, reach out also to WOCAT.									
○ to secure a strong national ownership, engage and sensitise key government representatives and other stakeholders about the project and ensure their full participation and agreement in the development of the project strategy and design.	Lead		Lead	Support	Lead	Lead	Support	Support	
● Identify other relevant existing and planned initiatives, possibly negotiating partnerships to align activities and build synergies, and reflecting this in the project strategy.	Support	Support	Lead		Lead	Support	Support	Support	
● <b>Desktop and field-based studies and data collection</b> , to further elaborate the situation analysis and project interventions (building on the PIF). This will include <i>inter alia</i> :									
○ review relevant national and sector development plans, policies and budgets to further respond to and align the project with government goals and priorities;	Support	Support	Lead		Support	Support	Support	Support	
○ research to establish/confirm the baseline investment of the government and its partners in relation to the issues to be addressed by the project, in order to help determine the incrementality of the GEF intervention;	Support		Lead		Lead	Support	Support	Support	
○ building on the PIF, prepare an assessment of current land and water use practices, livestock densities, socio-economic situation, governance systems, tribal structures and relations, and resource-related conflicts in the Dikhil region and especially the target area; with an internationally benchmarked review of potential solutions considering any that are promoted/ applied nationally but also beyond;			Lead	Support	Lead	Support	Support	Support	
○ an assessment of institutional/technical/individual capacity development needs for key stakeholder groups at national, regional and local level in the target areas, on sustainable land and water management challenges and related technical and governance solutions;	Support	Support	Lead		Lead	Support	Support	Support	
○ international benchmarking of adequacy, incrementality and cost-effectiveness of the project's interventions;			Lead		Support	Support	Support	Support	
○ desktop research and/or field data collection required to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project target, for the results framework;			Lead		Lead	Support	Support	Support	
○ <b>Environmental and Social Safeguard/Impact Assessment.</b> The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase determined the overall risk categorization of this project as <i>Low</i> and highlighted potential safeguard risks to be further assessed during the PPG phase. The purpose of these assessments is to identify ways to <u>avoid</u> negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards (see section B-f below). If the required assessments cannot be undertaken or finalized during the			Lead	Lead	Support	Support	Support	Support	

PPG, they must be completed during the first phase of project implementation.								
<ul style="list-style-type: none"> <li>○ Prepare a <b>Gender Analysis</b> 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 (see PPG Component B).</li> </ul>	Support	Support	Lead		Support	Lead		
<ul style="list-style-type: none"> <li>● <b>Identification of project sites.</b> Based on the above reviews, and through consultation with stakeholders, the targeted project sites will be identified.</li> </ul>	Support	Support	Lead	Support	Lead	Support		

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

Based on the technical studies and reviews undertaken under **PPG Component A** (detailed above), the full UNDP-GEF Project Document (following the 2017 annotated UNDP-GEF Project Document available [here](#)) and GEF CEO Endorsement Request (available [here](#)) will be prepared, with the required complementary documentation. The following table provides the necessary details as well as instructions on several areas of the PRODOC requiring special focus. The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

	UNDP CO	UNDP-GEF RTA	PPG Team Leader	Safeguards	Rangelands	Gender & Local Stakeh	Data Collection	GIS/Mapping
			IC	UNV	National	National	National	National
<ul style="list-style-type: none"> <li>● <b>Financial planning.</b> <ul style="list-style-type: none"> <li>○ Undertake consultations with partners to secure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. Confirm co-financing pledges from the PIF stage and identify further co-financing opportunities as required.</li> <li>○ Ensure issuance of official co-financing letters/guarantees to be collected from participating government institutions, bilateral development partners, multilateral development partners, NGOs, private sector, or others who commit to provide cash or in-kind contributions to the project.</li> </ul> </li> </ul>	Lead	Support	Lead		Support			
<ul style="list-style-type: none"> <li>● Building on the PIF and the above consultations and background research, <b>formulate/consolidate the full PRODOC</b> with all relevant sections and annexes following the latest standard GEF-6 templates. This includes <i>inter alia</i>:</li> </ul>			Lead	Support	Support	Support	Support	Support

○ Consolidating the summary problem, baseline investment and barrier analyses;			Lead		Support	Support		
○ <b>Theory of Change.</b> The detailed theory of change (ToC), based on the studies and data collection undertaken in PPG Component A, will be developed. The selected approach will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach. Additional guidance is available in the Annotated UNDP-GEF ProDoc template.			Lead	Support	Support	Support		
○ Elaborating adequate and technically robust project interventions in detail, defining incrementality and cost-effectiveness of the project's interventions; and addressing/integrating the suggestions made and opportunities/risks identified in the context of PIF approval, by GEF Secretariat, GEF STAP, and GEF Council (see Annexes 3a-c);			Lead	Support	Support	Support		Support
○ Embed a policy on the prevention of IAS in project SLM activities into the PRODOC			Lead		Support			
○ <b>Stakeholder Engagement Plan.</b> Based on the consultations undertaken during the PPG phase, a Stakeholder Engagement Plan will be developed.	Support		Lead	Support	Support	Lead	Support	Support
○ Prepare a <b>Capacity Development Plan</b> for the different national, regional and local stakeholder groups			Lead		Support	Support		
○ <b>Gender Action Plan and Budget.</b> Based on the Gender Analysis conducted in PPG Component A, the Gender Action Plan and Budget will outline the gender-specific outputs to be delivered during project implementation in order 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 should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions. The Gender Budget must be integrated into the Total Budget and Work Plan. The Gender Analysis as well as the Gender Action Plan and Budget must be attached as Annexes to the Project Document. See guidance available <a href="#">here</a> .	Support	Support	Lead	Support		Lead		
○ <b>Monitoring and Evaluation (M&amp;E) Plan and Budget.</b> Starting from the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the UNDP-GEF M&E Policy, develop a detailed M&E Plan and Budget, adding further elements allowing considering especially the dedicated Component 4 in this project. The on-the-ground monitoring could be undertaken by			Lead		Support	Support		Support



<p>national institutes/universities as appropriate. Clarify the roles of various groups involved in project M&amp;E, how project-level monitoring links with data collected at the national level, and specify the frequency of monitoring. Specify monitoring tools to be used; clarify responsibilities for completing the mid-term and terminal GEF Tracking Tools (see below). Complete the M&amp;E budget included in the UNDP-GEF Project Document noting that the total budget should be between 3-5% of the GEF grant.</p>								
<p>○ <b>Results Framework.</b> Based on the studies and data collection undertaken in PPG Component A, the Results Framework will be defined with appropriate Objective-level and Outcome-level quantitative and qualitative SMART indicators and mid-term and end-of-project targets. Building on the tentative framework in the PIF, it will be designed in line with the following parameters:</p> <ul style="list-style-type: none"> <li>▪ Do not include outputs or activities in the results framework. Outputs and corresponding indicators can be included in the results section and/or in Annex to the project document.</li> <li>▪ Prepare a maximum of 2-3 indicators for the Objective and each Outcome. Aim to keep the total number of indicators in the results framework (and that require annual reporting to the GEF) to 15-16.</li> <li>▪ Aim to include state indicators (e.g. spatial coverage, ecosystems quality, species populations), pressure indicators (threats and drivers) and response indicators;</li> <li>▪ Include also a suitable outcome and indicator from the <i>UNDP Integrated Results and Resources Framework</i>.</li> <li>▪ Give special attention to include gender-responsive outcomes and other socio-economic benefits.</li> <li>▪ Define baseline values for each indicator, using PPG research and existing national information.</li> <li>▪ Disaggregate indicators by sex, including number of direct project beneficiaries.</li> <li>▪ Set realistic mid-term targets and end-of-project targets that can be achieved by project closure.</li> <li>▪ Summarize risks and assumptions, and sources of verification/data.</li> </ul>		Support	Lead		Support	Support	Support	

<ul style="list-style-type: none"> <li>▪ <i>See the annotated UNDP-GEF Project Document template for additional guidance on developing the Results Framework.</i></li> </ul>								
<ul style="list-style-type: none"> <li>○ Preparing a detailed, <b>multi-year Total Budget and Work Plan</b> for the project, following the standard format provided in the UNDP-GEF ProDoc template; the principal TBWP table will allocate the GEF resources, any UNDP resources, as well as any further resources to be directly managed by UNDP over the lifetime of the project.</li> </ul>	Support		Lead		Support	Support		

<ul style="list-style-type: none"> <li>○ <b>Social &amp; Environmental Standards and Project Risks</b> <ul style="list-style-type: none"> <li>▪ Building on the ESIA conducted during PPG Component A (above) and in line with <a href="#">UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes</a>, a UNDP-SESP will be prepared and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document.</li> <li>▪ 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 in Annex to the project document, as required per UNDP's SES policy. 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 must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared; the plan(s) have been disclosed and approved by the Project Board.</li> </ul> </li> </ul>		Support	Lead	Lead	Support	Support	Support	Support
<ul style="list-style-type: none"> <li>○ <b>Project Management Arrangements.</b> <ul style="list-style-type: none"> <li>▪ Based on the stakeholder analysis and consultations undertaken in PPG 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.</li> <li>▪ This will also entail an agreement on the implementation and cash transfer modality following the UNDP HACT Micro-Assessment of the chosen Implementing Partner.</li> </ul> </li> </ul>	Lead	Support	Lead		Support			
<ul style="list-style-type: none"> <li>○ Defining the tentative configuration of the <b>Project Implementation Team</b> and developing the according <b>Terms of Reference</b> to ensure a smooth transition from the PPG to the implementation phase.</li> </ul>	Support	Support	Lead	Support	Support	Support		Support

<ul style="list-style-type: none"> <li>○ <b>GEF Tracking Tools.</b> <ul style="list-style-type: none"> <li>▪ The following GEF Tracking Tools must be prepared, in line with the relevant GEF objectives: <b>Land Degradation Portfolio Monitoring and Assessment Tool (PMAT)</b>. Indicators from the GEF Tracking Tools can be included in the Results Framework as appropriate. See the <a href="#">GEF's website</a> for the most up-to-date templates as these may change,</li> <li>▪ The GEF Tracking Tools will be completed using the GEF-6 standard Excel template, which will form part of the submission package. In addition they will be copied into the ProDoc as Annexes.</li> </ul> </li> </ul>		Support	Lead GEF PMAT		Support			
<ul style="list-style-type: none"> <li>○ <b>UNDP Scorecards required for the project: UNDP LD Capacity Development Scorecard. These will be copied into the ProDoc as Annexes.</b></li> </ul>		Support	Lead		Support			
<ul style="list-style-type: none"> <li>• Prepare the <b>GEF CEO Endorsement Request</b> following the latest standard GEF-6 templates, taking a parsimonious approach by avoiding duplication of PRODOC sections.</li> </ul>		Support	Lead					
<ul style="list-style-type: none"> <li>• Submit the PRODOC and GEF CEO Endorsement Request package to the UNDP-GEF RTA for review and comment.</li> </ul>	Lead		Lead					
<ul style="list-style-type: none"> <li>• <b>Validation Workshop and Report.</b> A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.</li> </ul>	Lead and attend	Support and attend on site or remotely	Lead and attend on site or remotely	Attend remotely	Support and attend	Support and attend	Support and attend	
<ul style="list-style-type: none"> <li>• Finalise the PRODOC and for GEF CEO Endorsement Request package for submission to UNDP-GEF and GEF Secretariat.</li> </ul>	Support	Support	Lead	Support	Support	Support		
<ul style="list-style-type: none"> <li>• If required, respond to any reviews by the GEF Secretariat and resubmit the PRODOC and CEO Endorsement Request package;</li> </ul>	Support	Lead	Lead	Support	Support	Support		
<ul style="list-style-type: none"> <li>• Translate the PRODOC and any further relevant documentation.</li> </ul>	Lead							

#### IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

<b>Atlas Project ID (formerly Award ID):</b>	00106605						
<b>Atlas Output ID (formerly Project ID):</b>	00107263						
<b>Award Title:</b>	LDCF2/IWRM Somalia						
<b>Business Unit:</b>	SOM10						
<b>Project Title:</b>	Support for Integrated Water Resources Management to Ensure Water Access and Disaster Reduction for Somalia’s Pastoralists						
<b>UNDP PIMS ID:</b>	5464						
<b>GEF PMIS ID:</b>	8028						
<b>Implementing Partner:</b>	N/A (DIM)						
<b>GEF Outcome/Atlas Activity</b>	<b>Resp. Party</b>	<b>Fund ID</b>	<b>Donor Name</b>	<b>Atlas Budgetary Account Code</b>	<b>ATLAS Budget Description</b>	<b>Amount US\$</b>	<b>Budget Notes</b>
Project preparation grant to finalize the UNDP-GEF project document for project on “Integrated Water Resources Management to Ensure Water Access and Disaster Reduction for Somalia’s Pastoralists”	UNDP	62000	GEF TF	71200	International Consultants	55,000	A
				71400	Service Contracts <sup>1</sup>	90,300	B
				72800	Equipment for Project Preparation	7,500	C
				75700	Meetings/ Stakeholders Consultations	13,500	D
				71600	Travel	29,400	E
				74500	Miscellaneous	4,300	F
				<b>TOTAL</b>		200,000	
				<b>AVAILABLE PPG BUDGET</b>		200,000	
				<b>BALANCE</b>		0	

<sup>1</sup> Experts including: Social and Environmental Expert; Rangeland Specialist; GIS/Mapping Expert; Data Collectors; Gender Specialist.

Budget Note	Items	Total estimated person weeks	Budget US\$	Budget Note
A	International Specialist in Climate Change Adaptation and GEF Project Development (PPG Team Leader)	22 weeks @ 2,500	55,000	Please see Annex 2 for key responsibilities.
<b>Sub-total (international Consultant)</b>			<b>55,000</b>	
B	Social and Environmental Safeguards Specialist	15 weeks @ 2,500	37,500	Please see Annex 2 for key responsibilities.
	Rangeland Specialist	12 weeks @ 1,200	14,400	
	GIS/Mapping Expert	8 weeks @ 1,200	9,600	
	Data Collection / Numerators	12 weeks @ 1,200	14,400	
	Specialist in Gender Mainstreaming	12 weeks @ 1,200	14,400	
<b>Sub-total (Service Contracts)</b>			<b>90,300</b>	
C	Equipment for Project Preparation	(3 lap tops, 1 printer, 1 camera, 2 GPS, GIS software) – Note this equipment will be transferred to implementation phase of the project.	7,500	
D	Meetings/Stakeholders Consultations	9 consultations @ 1,500 each	13,500	
E	Travel (International and In-country)	14 missions @ 2,100 each including DSA, ground and air travels	29,400	
F	Misc	Lump sum for contingencies	4,300	

---

**V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET**

N/A

## VI. MANDATORY ANNEXES

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



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

**Naoko Ishii**  
CEO and Chairperson

September 07, 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 LDCF/SCCF Council's review and consideration. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Council Approval and Project Preparation Grant (PPG) Approval
GEFSEC ID:	8028
Agency(ies):	UNDP
Agency ID:	5464 (UNDP)
Focal Area:	Climate Change
Project Type:	Full-Sized Project
Country(ies):	Somalia
Name of Project:	Support for Integrated Water Resources Management to Ensure Water Access and Disaster Reduction for Somalia's Pastoralists
Indicative GEF Project Grant:	\$8,831,000
Indicative Agency Fee:	\$838,945
PPG Grant:	\$200,000
PPG Agency Fee:	\$19,000
Funding Source:	Least Developed Countries Fund

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	LDCF	\$335,578	\$503,367	\$838,945

1818 H Street, NW Washington, DC 20433 USA  
Tel: +1 (202) 473 3202 - Fax: +1 (202) 522 3240  
E-mail: [gefceo@thegef.org](mailto:gefceo@thegef.org)  
[www.thegef.org](http://www.thegef.org)



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 LDCF focal areas strategies and in line with GEF/LDCF 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 PIF.

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)

Position, Type and Cost	Role, Deliverables and Qualifications
<p><b>Position:</b> International Specialist in Climate Change Adaptation and GEF Project Development (PPG Team Leader)</p> <p><b>Type:</b> IC</p> <p><b>Cost per person week:</b> USD 2,500</p> <p><b>Number of person weeks needed:</b> 22</p>	<p><b>Role</b> Lead on the overall PPG and responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and GEF 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, as well as providing the necessary international benchmarking expertise on climate change adaptation.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Management of the GEF PPG Team, Field mission and PPG Inception Meeting</u> <ol style="list-style-type: none"> <li>a. Define and submit a <b>detailed methodology and work plan</b> in consultation with the other consultants with clear delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs);</li> <li>b. Ensure that project development is <b>participatory, gender-responsive and based on extensive stakeholder engagements</b>; and</li> <li>c. Verify and ensure that all project components are <b>technically sound and cost effective</b>.</li> <li>d. Oversee the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>e. Ensure the preparation of the <b>gender analysis</b> and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>f. Ensure action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> 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;</li> <li>g. Conduct/oversee the <b>identification of the project sites</b>, with documentation of selection criteria;</li> <li>h. Oversee the consultations with partners regarding <b>financial planning</b>; and</li> <li>i. Ensure completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> </li> <li>2) Secure <b>the required official endorsement and co-financing letters</b></li> <li>3) With inputs from the other national and international consultants, as detailed in their respective TORs, and based on international best practice, <u>formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes</u> (PPG Component B – <i>inter alia</i>: Baseline/Situation Analysis, Capacity Needs Assessment, Stakeholder Engagement Plan, Social and Environmental Safeguards Assessment, Gender Analysis and Action Plan and Budget, Theory of Change, Total Budget and Work Plan, M&amp;E Plan and Budget, Results Framework, Project Management Arrangements, addressing GEF Secretariat, Council and STAP comments).</li> <li>4) <b>GEF LD PMAT Tracking Tool and UNDP LD Capacity Development Scorecard.</b></li> <li>5) <b>Validation Workshop and Report.</b></li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– Master’s degree or higher in a relevant field, such as in water resources, climate change, environmental management, natural resources or similar;</li> </ul>

	<ul style="list-style-type: none"> <li>– Minimum of 5 years of demonstrated experience in climate change adaptation programming and implementation;</li> <li>– Demonstrated experience in developing quality GEF projects from Least Developed Countries Funding Window and programmes/projects formulation for UNDP in Somalia or the region;</li> <li>– Full proficiency in quality written and spoken English.</li> </ul>
<p><b>Position:</b> Specialist in Social and Environmental Safeguards</p> <p><b>Type:</b> UNV</p> <p><b>Cost per person-week:</b> USD 2,500</p> <p><b>Number of person-weeks needed:</b> 15 weeks</p>	<p><b>Role</b> Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, leading in particular on the Social and Environmental Impacts Assessment and related products and inputs.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Provide support and advice to the PPG Team Leader on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u></li> <li>2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance.</li> <li>3) <u>Lead the work stream on Environmental and Social Impacts Assessment</u> and related products and inputs, contributing the necessary research and documentation, and input to the project design and interventions. This will entail the conduct of a full ESIA with a special focus on the stakeholders in the target region and the preparation of an ESIA Report.</li> <li>4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></li> <li>5) Remote participation, if possible, in the <u>Validation Workshop</u>.</li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– University degree in a relevant field, such as in anthropology, sociology, environmental management preferred but not required in the case of demonstrated relevant professional experience in social and environmental safeguards/impact assessment;</li> <li>– Relevant demonstrated experience in social and environmental safeguards/impact assessment;</li> <li>– Experience in developing quality GEF projects an advantage;</li> <li>– Fluency in written and spoken English.</li> </ul>
<p><b>Position:</b> National Specialist in Rangelands (PPG National Focal Point)</p> <p><b>Type:</b> SC</p> <p><b>Cost per person-week:</b> US\$ 1,200</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Role</b> Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the international specialists country-specific input related to land and water use, rangeland management, pastoral practices in the conditions of climatic changes.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Provide support and advice to the PPG Team Leader and other International Specialists on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u></li> <li>2) <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance.</li> <li>3) <u>Lead or co-lead and advise on the following deliverables:</u> <ol style="list-style-type: none"> <li>a. Engage and sensitise key government representatives and other stakeholders about the project to secure a strong national ownership, and ensure their full</li> </ol> </li> </ol>

	<p>participation and agreement in the development of the project strategy and design.</p> <ol style="list-style-type: none"> <li>b. identify other relevant existing and planned initiatives, possibly negotiating partnerships to align activities and build synergies, and reflecting this in the project strategy.</li> <li>c. research to establish/confirm the baseline investment of the government and its partners in relation to the issues to be addressed by the project, in order to help determine the incrementality of the GEF intervention;</li> <li>d. an assessment of current land and water use practices, livestock densities, socio-economic situation, governance systems, tribal structures and relations, and resource-related conflicts in the Dikhil region and especially the target area; with an internationally benchmarked review of potential solutions considering any that are promoted/ applied nationally but also beyond;</li> <li>e. an assessment of institutional/technical/individual capacity development needs for key stakeholder groups at national, regional and local level in the target areas, on sustainable land and water management challenges and related technical and governance solutions;</li> <li>f. desktop research and/or field data collection required to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project target, for the results framework;</li> <li>g. the identification of project sites;</li> </ol> <ol style="list-style-type: none"> <li>4) <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></li> <li>5) Participation in the <u>Validation Workshop.</u></li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– University degree in a relevant field, such as in water resources, rangeland management, agronomy, geography, biological science, environmental management, or similar;</li> <li>– Minimum of 3 years of demonstrated experience in sustainable land and/or water management;</li> <li>– Experience working with UNDP and/or GEF projects an advantage;</li> <li>– Proficiency in English and spoken Somali.</li> </ul>
<p><b>Position:</b> GIS/Mapping Expert</p> <p><b>Type:</b> NC</p> <p><b>Cost per person-week:</b> US\$ 1,200</p> <p><b>Number of person-weeks needed:</b> 8 weeks</p>	<p><b>Role</b> Participate in and support the PPG process, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the international specialists country-specific input related to GIS based mapping of existing and proposed sites for project interventions across Somalia.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) Provide support and advice to the PPG Team Leader and other International Specialists on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</li> <li>2) Reviewing deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance.</li> <li>3) Lead or co-lead and advise on the following deliverables: <ol style="list-style-type: none"> <li>a. Collect datasets from FAO/SWLIM on the relevant aspects of the project</li> <li>b. Using GIS software prepare information layers to indicate social and environmental conditions in the areas identified by the stakeholders and detailed out by the team leader</li> </ol> </li> </ol>

	<p>c. Identify the needs and prepare an annex on the use of GIS to monitor the before and after conditions of the areas with proposed interventions under the project</p> <p>d. Prepare set of maps to be included in GEF/UNDP project document under the guidance of the team leader</p> <p>e. <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></p> <p>4) Participation in the meetings (as required by UNDP Country Office or the Team Leader)</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– University degree in a relevant field, such as, geography, remote sensing etc.;</li> <li>– Minimum of 3 years of demonstrated experience in GIS mapping for development projects;</li> <li>– Experience working with UNDP and/or GEF projects an advantage;</li> </ul> <p>Proficiency in English is required spoken Somali will be of advantage.</p>
<p><b>Position:</b> Local Consultant (Data Collection)</p> <p><b>Type:</b> SC</p> <p><b>Cost per person-week:</b> US\$ 1,200</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Role</b> Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the team leader country-specific inputs.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) Provide support and advice to the PPG Team Leader and other Specialist on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</li> <li>2) Contribute to the deliverables from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance.</li> <li>3) Lead or co-lead and advise on the following deliverables: <ol style="list-style-type: none"> <li>a. Engage and sensitise key government representatives and other stakeholders about the project and collect primary and secondary data as identified by the team leader.</li> <li>b. Organise meetings with potential beneficiaries and assist in the Stakeholder Engagement Plan.</li> <li>c. Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</li> <li>d. Participation in the meetings of project formulation team.</li> </ol> </li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– University degree in a relevant field, such as in development studies, anthropology, sociology, environmental management, community engagement;</li> <li>– Minimum of 3 years of demonstrated experience in development and climate change projects;</li> <li>– Experience working with UNDP and/or GEF projects an advantage;</li> </ul> <p>Proficiency in English and Somali</p>
<p><b>Position:</b> National Specialist in Gender Mainstreaming and Local Stakeholder Engagement</p>	<p><b>Role</b> Participate in and support the PPG process, research, field mission, project design development and the preparation of the PRODOC/GEF CEO Endorsement Request package, providing to the international specialists country-specific input related to gender and local-level stakeholder analysis and engagement.</p> <p><b>Deliverables</b></p>

<p><b>Type:</b> SC</p> <p><b>Cost per person-week:</b> US\$ 1,200</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<ul style="list-style-type: none"> <li>e. <u>Provide support and advice to the PPG Team Leader and other International Specialists on all aspects mentioned accordingly in the PPG IP table of activities and responsibilities</u></li> <li>f. <u>Reviewing deliverables</u> from other PPG team members as appropriate for the purpose of alignment, integration and mutual quality assurance.</li> <li>g. <u>Lead or co-lead and advise on the following deliverables:</u></li> <li>h. Engage and sensitise key government representatives and other stakeholders about the project to secure a strong national ownership, and ensure their full participation and agreement in the development of the project strategy and design.</li> <li>i. the <b>Stakeholder Engagement Plan</b>.</li> <li>j. the <b>Gender Analysis and Gender Action Plan and Budget</b>, working closely with the Team Leader to ensure their findings are meaningfully integrated into the project's strategy, design, theory of change and results framework;</li> <li>k. <u>Provide relevant quality text sections for the PRODOC/ GEF CEO Endorsement Request package on these aspects.</u></li> <li>l. Participation in the <u>Validation Workshop</u>.</li> </ul> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>– University degree in a relevant field, such as in anthropology, sociology, environmental management preferred but not required in the case of demonstrated relevant professional experience in gender, safeguards and/or community engagement;</li> <li>– Minimum of 3 years of demonstrated experience in gender and/or community engagement;</li> <li>– Experience working with UNDP and/or GEF projects an advantage;</li> <li>– Proficiency in English an advantage.</li> </ul>
---	--

Annex 3a: Comments on the PIF from GEF Secretariat



**GEF-6 GEF SECRETARIAT REVIEW FOR FULL-SIZED/MEDIUM-SIZED PROJECTS**

**THE GEF/LDCF/SCCF TRUST FUND**

GEF ID:	8028		
Country/Region:	Somalia		
Project Title:	Support for Integrated Water Resources Management to Ensure Water Access for Somalia's Pastoralists		
GEF Agency:	UNDP	GEF Agency Project ID:	5464 (UNDP)
Type of Trust Fund:	Least Developed Countries Fund (LDCF)	GEF Focal Area (s):	Climate Change
GEF-6 Focal Area/ LDCF/SCCF Objective (s):		CCA-1; CCA-2; CCA-3;	
Anticipated Financing PPG:	\$200,000	Project Grant:	\$8,831,000
Co-financing:	\$21,148,000	Total Project Cost:	\$29,979,000
PIF Approval:		Council Approval/Expected:	
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	Dustin Schinn	Agency Contact Person:	Tom Twiss

<b>PIF Review</b>			
Review Criteria	Questions	Secretariat Comment	

<p><b>Project Consistency</b></p>	<p>1. Is the project aligned with the relevant GEF strategic objectives and results framework?<sup>2</sup></p>	<p>NOT CLEAR. The Focal Area Strategy Framework (Table A) cites CCA outcomes associated with the previous programming strategy (2010-14). Moreover, the GEF-6 PIF template does not include project management costs in Table A.</p> <p>RECOMMENDED ACTION: Please (i) provide, in Table A, the CCA</p>
		<p>objectives towards which the proposed project is expected to contribute, consistent with the 201418 Programming Strategy on Adaptation, along with the associated grant and co-financing amounts, and update Section B.2 of the PIF accordingly; and (ii) please remove project management costs from Table A. The associated grant and cofinancing amounts may be distributed across the relevant CCA objectives, as appropriate.</p> <p>06/13/2015 – YES. Table A has been revised as recommended. The proposed project would contribute towards strategic objectives CCA-1, CCA-2 and CCA-3.</p>
	<p>2. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions?</p>	<p>YES. The proposed project would address Somalia's NAPA priorities in the areas of integrated water resources management, and it would contribute towards other priorities in the areas of sustainable land management, watershed management and disaster risk management. The project is further aligned with relevant development plans and strategies at the federal and state levels, including the Somali New Deal Compact (2013), Somaliland's National Development Plan (2012-16) and Puntland's 5-year Development Plan.</p>

<sup>2</sup> For BD projects: has the project explicitly articulated which Aichi Target(s) the project will help achieve and are SMART indicators identified, that will be used to track the project's contribution toward achieving the Aichi Target(s)?



<b>Project Design</b>	<p>3. Does the PIF sufficiently indicate the drivers<sup>3</sup> of global environmental degradation, issues of sustainability, market transformation, scaling, and innovation?</p>	<p>NOT CLEAR. Please refer to Section 4 below.</p> <p>RECOMMENDED ACTION: Upon addressing the recommendations in Section 4, please revisit the description of the innovative aspects of the proposed project as well as the potential for sustainability and scaling up.</p> <p>06/13/2015 – YES. The proposed project would benefit at least 200,000 pastoralists through improved access to water resources as well as climate information and decision-support services. The project would take a holistic approach to promoting integrated water resources management at the federal and subnational levels through improved policy and legislation, local-level training and awareness raising, and tangible investments. Thanks to strong linkages with ongoing and planned investments, policies and plans, the proposed project shows clear potential for sustainability and scaling up.</p>
	<p>4. Is the project designed with sound incremental reasoning?</p>	<p>NOT CLEAR. The PIF provides a clear and concise rationale for integrated water resources</p>

<sup>3</sup> Need not apply to LDCF/SCCF projects.

		<p>management in Somalia, with a particular focus on pastoralists. The proposed project would build on several baseline initiatives, including the (i) Integrated Drought Management Program in the Horn of Africa (IDMP HoA); (ii) the Somalia Water and Land Information Management (SWALIM) service; (iii) the Joint Programme on Local Governance and Decentralized Service Delivery (JPLG); (iv) the New Deal Compact; and (v) support provided by the Red Cross and Red Crescent Climate Centre to improve weather and climate forecasting.</p> <p>While most of the baseline initiatives seem relevant, it is not clear whether these would target specific regions, and how these would relate to the areas targeted by the proposed LDCF project. The description of the New Deal Compact, for example, provides very little information on what investments would be carried out and where.</p> <p>Moreover, the PIF could further clarify how the baseline initiatives relate to the indicative sources and amounts of co-financing cited in Table C. The funding cited in Section A.1.2 amounts to \$14.90 million,</p>
--	--	---

		<p>whereas total indicative co-financing is \$16.16 million, and it is unclear whether the former refers only to the indicative co-financing associated with each project.</p> <p>With respect to Component 2, it is unclear what the mandate and capacities of Somalia's National Hydro-Meteorological Services (NHMS) are.</p> <p>Finally, in terms of coordination and complementarity with other, ongoing and planned initiatives, the PIF mentions the Drought Resilience and Sustainable Livelihoods Programme in the Horn of Africa (DRSLP), which also benefits from additional LDCF resources, but it should describe further how the proposed project would complement and be coordinated with this program that also targets pastoralists in droughtprone areas.</p> <p>In absence of further clarity regarding the baseline scenario and some of the baseline initiatives, the additional reasoning for the proposed LDCF grant cannot be adequately assessed.</p> <p>The PIF indicates that the proposed project would focus on pastoralists in</p>
--	--	--

		<p>Somalia's arid and semi-arid lands. This would apply to a very large share of Somalia's population and territory and it is not clear how target areas and beneficiaries would be selected, particularly under Component 3.</p> <p><b>RECOMMENDED ACTION:</b> Please (i) provide further information regarding the geographic scope and targeted areas of each baseline project; (ii) clarify how the indicative sources and amounts of co-financing in Table C relate to the descriptions of the baseline initiatives in Section A.1.2; (iii) describe further the mandate and capacities of Somalia's NHMS; (iv) describe how complementarity and coordination would be ensured with the Drought Resilience and Sustainable Livelihoods Programme in the Horn of Africa (DRSLP); and, upon addressing the recommendations regarding the baseline scenario and relevant baseline initiatives, please (v) strengthen the description of the additional reasoning and adaptation benefits accordingly; and (vi) provide further information regarding the targeting principles that will guide the selection of target areas and beneficiaries, particularly under Component 3.</p>
--	--	--

		<p>06/13/2015 – YES. The revised PIF, in Section A.1.2, clarifies the geographic scope and targeted areas of the baseline initiatives, and the relationship between the baseline initiatives and the indicative sources and amounts of co-financing. The resubmission also addresses adequately the questions regarding targeting and complementarity.</p>
--	--	--

	5. Are the components in Table B sound and sufficiently clear and appropriate to achieve project objectives and the GEBs?	NOT CLEAR. Please refer to Section 4 above.  RECOMMENDED ACTION: Upon addressing the recommendations in Section 4, please adjust the project framework accordingly, if necessary.  06/13/2015 – YES. The components in Table B are sound and sufficiently clear.	
	6. Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?	YES. Socio-economic aspects, including gender dimensions, have been adequately considered for this stage of project development.	
<b>Availability of Resources</b>	7. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	<input type="checkbox"/> The STAR allocation?		
	<input type="checkbox"/> The focal area allocation?		
	<input type="checkbox"/> The LDCF under the principle of equitable access	YES. The proposed grant is available from the LDCF in accordance with	
		the principle of equitable access.	
	<input type="checkbox"/> The SCCF (Adaptation or Technology Transfer)?		
	<input type="checkbox"/> Focal area set-aside?		

<b>Recommendations</b>	8. Is the PIF being recommended for clearance and PPG (if additional amount beyond the norm) justified?	NOT YET. Please refer to sections 1, 3, 4 and 5.  06/13/2015 – YES. The proposed project is technically cleared. However, the project will be processed for clearance/ approval only once adequate, additional resources become available in the LDCF.  DS, August 21, 2017: An updated PIF, including an annex summarizing the specific aspects that required updating, was submitted and cleared. The Program Manager thus recommends the updated PIF for CEO approval given that resources available in the LDCF are sufficient to process the project for funding approval.
	Review	May 08, 2015
	Additional Review (as necessary)	June 13, 2015
<b>Review Date</b>	Additional Review (as necessary)	August 21, 2017

<b>CEO endorsement Review</b>			
<b>Review Criteria</b>	<b>Questions</b>	<b>Secretariat Comment at CEO Endorsement</b>	<b>Res</b>
<b>Project Design and Financing</b>	1. If there are any changes from that presented in the PIF, have justifications been provided?		
	2. Is the project structure/ design appropriate to achieve the expected outcomes and outputs?		
	3. Is the financing adequate and does the project demonstrate a cost-effective approach to meet the project objective?		

	4. Does the project take into account potential major risks, including the consequences of climate change, and describes sufficient risk response measures? (e.g., measures to enhance climate resilience)		
	5. Is co-financing confirmed and evidence provided?		
	6. Are relevant tracking tools completed?		
	7. <i>Only for Non-Grant Instrument:</i> Has a reflow calendar been presented?		
	8. Is the project coordinated with other related initiatives and national/regional plans in the country or in the region?		
<b>CEO endorsement Review</b>			
<b>Review Criteria</b>	<b>Questions</b>	<b>Secretariat Comment at CEO Endorsement</b>	<b>Resp</b>
	9. Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?		
	10. Does the project have descriptions of a knowledge management plan?		
<b>Agency Responses</b>	11. Has the Agency adequately responded to comments at the PIF <sup>4</sup> stage from:		
	<input type="checkbox"/> GEFSEC		
	<input type="checkbox"/> STAP		
	<input type="checkbox"/> GEF Council		
	<input type="checkbox"/> Convention Secretariat		
<b>Recommendation</b>	12. Is CEO endorsement recommended?		
<b>Review Date</b>	Review		
	Additional Review (as necessary)		

<sup>4</sup> If it is a child project under a program, assess if the components of the child project align with the program criteria set for selection of child projects.

	Additional Review (as necessary)		
--	----------------------------------	--	--



**Annex 3b: Comments on the PIF from GEF STAP and preliminary responses from RTA**