



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems

Country: Regional (Belarus and Ukraine [Lithuania, Poland])

UNDP Strategic Plan/Regional Programme for Europe and the CIS

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals, and waste

Gender Marker Rating: *GEN 2*

Initiation Plan Start Date: 26st February 2018

Initiation Plan End Date: 26st July 2019

ATLAS Project ID: 00107972
ATLAS Output ID: 00108031
PIMS ID: 5876
Management Arrangement: UNESCO-IHP

Total budget: **US\$ 100,000**
Allocated resources:
• GEF **US\$ 100,000**

AGREED BY

Mr Sanaka Samarasinha
UNDP Resident Representative

Signature

Date: day/month/year

Mrs Blanca Jiménez-Cisneros
**Secretary of the International
Hydrological Programme
Director of the Division of
Water Sciences, UNESCO**

Signature

Date: day/month/year

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Brief Description of Initiation Plan/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project document for the full-size project “*Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems*” (Bug-Neman project) in the International Waters focal area.

As described in the project concept (PIF), this project aims to advance transboundary water governance through the conjunctive management of surface and groundwater in the Central European adjoining Bug and the Neman river basins as an optimal strategy for water supply management and a means to improve water security, conservation, and sustainability of freshwater ecosystem services, balance competing water uses, and mitigate the expected impacts of climate variability and change within the basin.

The project will have five components:

- Improve and harmonize the countries’ knowledge of the transboundary water resources, and of the expected impacts of increased climate variability and change. National ETS for Belarus and capacity building related to NDCs;
- Facilitating the establishment of cooperation mechanisms and institutions among countries sharing the basins and their water resources;
- Testing of conjunctive surface and groundwater management approaches, through the application of the principles of eco hydrogeology;
- Facilitating countries’ commitment to joint priority actions; and
- Communication, dissemination and replication activities.

The overall approach for the project strategy and main components of the project were identified during the preparation of the PIF. However, PPG resources are needed to support detailed analyses and consultations, and to define the roles and responsibilities of different institutions for project implementation.

The purpose of this initiation plan (IP) is to develop a full UNDP project document and GEF Request for CEO endorsement plus all required supporting documentation, including the respective Tracking Tool and national co-financing letters from the respective Belarusian and Ukrainian stakeholders, as well as co-financing letters from all partners. Technical clearance of the complete submission package requires sign off by (i) UNDP Belarus CO, (ii) UNDP Istanbul Regional Technical Advisor on International Waters and (iii) UNDP GEF Principal Technical Advisor on International Waters in New York.

This work will be carried out by a team of 8 consultants; 3 international consultants (team leader, regional coordinator and an M&E specialist) and 5 national consultants (3 – in Belarus, and 2 – in Ukraine). The consultants will report to UNESCO IHP. Two fact-finding missions, 1 – to Belarus and 1 – to Ukraine, will be conducted as part of the assignment by the team leader and regional coordinator. The missions should take place within 6 months of starting the assignment.

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;
- Bilateral/multilateral water related agreements to which Belarus and Ukraine are Parties as well as those under development;
- EU water management strategic documents, including the WFD, Flood Directive, Nitrate Directive, Urban Wastewater Treatment Directive, *etc.*;
- Obligations of the four countries under the Water Convention, Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention), Convention on the Transboundary Effects of Industrial Accidents, Ramsar Convention, Sustainable Development Goals;
- Draft report of the 4 countries submitted in 2017 UNESCO and UNECE on implementation of the Water Convention and SDG indicator 6.5.2
- National legislation, strategies and programmes on water (including national river basin management plans), flood management, agriculture, climate change, environment
- Outcomes of the previous UNECE-UNDP project on river basin management and climate change adaptation in the Neman basin
- Work plans of other relevant regional projects, e.g. the EU Water Initiative Plus project.
- Other material to be sent by UNESCO and UNECE

The key results, conclusions and challenges of the ongoing and closed projects in the two countries, which have relevance to the GEF Bug-Neman project, should be taken into consideration while preparing the respective full-fledged project. The list includes but not limited to the GEF Dnipro River Basin project, regional and bilateral EU funded water-related projects, the EnvSec project “Management of the Neman River basin with account of adaptation to climate change”, the EU Water Initiative NPD project work, work by the WWF, *etc.*

The final outputs of the GEF PPG will be:

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.
4. GEF Tracking Tool
5. Letters of Co-financing
6. 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

Milestone	Date	Notes
Contracting team of international and national consultants	February – March 2018	The team of consultants to carry out this work should be contracted before March 2018
Mission to Belarus and Ukraine	Within 6 months after the assignment has started	Planned dates of missions
PPG Inception meeting	Within first three months of PPG implementation	End of March 2018
Planned date for 1 st draft submission to UNDP	1 st November 2018	Planned dates of mission #2
Planned date of internal clearance by both GEF Regional Technical Advisor and UNDP Principal Technical Advisor	November 2018	Planned date of internal clearance by UNDP GEF Regional Office and UNDP New York
Translation of the project document to Russian	November 2018	
Validation stakeholder workshop	December 2018	In Kiev
Planned date of first submission to GEF Sec	30 th January 2019	Planned date of first submission date to GEF Secretariat
Absolute latest Internal submission date for UNDP-GEF review and clearance (in case of delays)	28 th March 2019	The deadline internal submission date must be at least two (2) months prior to CEO Endorsement Deadline
CEO Endorsement Deadline after which the project will be cancelled.	30 th May 2019	The GEF Cancellation Policy means that 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 Initiation Plan will be directly implemented by UNESCO IHP (Executive). UNESCO in cooperation with UNECE will be responsible for the selection and recruitment of PPG consultants (international and national (in consultation with UNDP COs), maintaining project disbursements, regular financial reporting. UNDP CO in Belarus will act as the lead UNDP CO in both the PPG and the implementation phases of the project. During the Project Document development, the UNESCO with a support from UNDP CO, will have full oversight of all procurement and activities required to develop a Project Document. A tentative list of local and international consultants ToRs to be financed by the PPG is attached to this PPG proposal (Annex 2).

The preparation of the full-fledged project “Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems” will be conducted in close cooperation with the UNECE Water Convention Secretariat. As during the preparation of the PIFthe Secretariat of the UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (Water Convention) will when needed, communicate with the beneficiary countries, as well as Lithuania and Poland, provide political support to the process and technical input into the UNDP Project Document, GEF CEO Endorsement Document and the Tracking Tool, along with input into the project management arrangements. Activities will be closely linked and coordinated with already planned UNECE projects in the region, such as the EU Water Initiative Plus.

The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group (Stakeholder board) will be established to 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 UNESCO and UNDP RTA will co-chair the Working Group. Working Group members will include representatives from IRH, UNDP Belarus and Ukraine, the Ministry of Environment of Belarus, the Water Institute (Belarus), Belhydromet (Belarus), the Ministry of Environment and Natural Resources of Ukraine, the Water Agency of Ukraine, the State Hydrometeorological Service of Ukraine, the UNECE Water Convention.

Under the overall guidance of UNESCO and consultation with UNECE, the PPG experts team will gather information, conduct consultations and develop a document package on a full-fledged GEF funded project “Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems”.

The GEF PPG team will be composed of the following consultants:

1. International Consultant on International Waters Management Project Design - Team Leader;
2. International Consultant – Regional coordinator
3. International Consultant – M&E Specialist
4. National Consultant on Surface Waters - National Consultants Team Leader (Belarus);
5. National Consultant on Ground Waters (Belarus);
6. National Consultant on Gender (one for both countries);
7. National Consultant on Surface Waters (Ukraine);
8. National Consultant on Ground Waters (Ukraine).

Draft Terms of Reference (TORs) for each team member is included in Annex 3 of this Initiation Plan.

Stakeholder Engagement, public discourse and other requirements

To ensure strong countries 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 of Belarus and Ukraine – 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.

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 countries 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. 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.

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

This research should produce the background information required to prepare the ProDoc and 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 **Component B**, below);
- Review of relevant past and ongoing projects in the field of interest for lessons; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP.

This activity will involve data collection and review on the national legislative controls and strategic planning in the area of international waters (surface and ground) in general. Further it will be looking at the recent and current actions being taken in the countries with respect to surface and ground waters management (including monitoring and evaluation measures) to enable the precise design of the future GEF project. The desk top and field based studies and data collection will be led by the International Consultant and the information will all be put together in a baseline data report.

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 must be attached as Annexes to the Project Document. See guidance available [here](#). The gender analysis will be carried out by the respective Gender Specialists.

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 low and highlighted potential safeguard risks to be further assessed during the PPG phase. The lead person tasked with carrying out this work will be the international consultant.

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 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 PPG, they must be completed during the first phase of project implementation. The SESP will be carried out by the International Consultant in close cooperation with the team of national consultants.

d. Identification of project sites

Based on the above reviews, and through consultation with stakeholders, the targeted project sites in the two basins will be identified and described.

e. Financial planning

The project budget will be identified with detailed budget notes provided. Co-financing will be confirmed and sources of funding clearly identified through 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 respective co-financing letters obtained. The respective national experts in Belarus and Ukraine will work towards confirming the national co-financing and securing co-financing letters.

f. Integration with development plans, policies, budgets and complementary projects:

Analysis of the relevant existing national development plans, programmes and policies and complementary programmes in the fields relevant to surface and ground water management will be conducted, along with the budgets allocated by the Government and donors to support these strategic programmes and projects, respectively.

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

Based on the technical studies and reviews undertaken under **Component A** (detailed above), the full UNDP-GEF Project Document will be developed (following the 2017 annotated UNDP-GEF Project Document available [here](#)), and the GEF CEO Endorsement Request (available [here](#)) will be prepared.

The GEF PPG Team Leader (international consultant) with inputs from the regional coordinator will be responsible for the consolidation and finalization of all required materials. The national consultants will provide information and data on a) the baseline data and other information required to write the project document. Scoping missions to Belarus and Ukraine should be conducted by the International Expert within 6 months of his/her assignment but after the key national experts are hired

The project scoping missions will focus on the preparation of the UNDP-GEF Project Document includes a specific focus on the following areas, which do not exhaustively capture the required Pro Doc content:

a. Theory of Change

The detailed theory of change (ToC), based on the studies and data collection undertaken in **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.

b. Results Framework

Based on the studies and data collection undertaken in **Component A**, the Results Framework will be further defined with appropriate Objective-level and Outcome-level quantitative and qualitative SMART indicators and mid-term and end-of-project targets. It will be designed in line with the following parameters:

- 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.
- 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 maximum of 15-16.
- Give special attention to include gender-responsive outcomes and other socio-economic benefits.
- Collect baseline data for each indicator using existing national sources when feasible.
- Disaggregate indicators by sex, including number of direct project beneficiaries.
- Set realistic mid-term targets and end-of-project targets that can be achieved by project closure.
- Summarize risks and assumptions, and sources of verification/data.

See the annotated UNDP-GEF Project Document template for additional guidance on developing the Results Framework.

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

The on-the-ground monitoring could be undertaken by national institutes/universities as appropriate. Clarify the roles of various groups involved in project M&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&E budget included in the UNDP-GEF Project Document noting that the total budget should not exceed 5% of the total GEF grant.

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 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.

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.

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 SESP. 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.

g. GEF Tracking Tool(s)

The required GEF Tracking Tool related to the International Waters focal area will be prepared, in line with the relevant GEF objectives, and included as an Annex to the ProDoc. Indicators from the GEF Tracking Tool can be included in the Results Framework as appropriate. See the [GEF's website](#) for the most up-to-date templates as these may change.

The lead on a, b, c, d, e, f and g above will be carried out by the international consultant.

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. UNESCO in consultation with RTA (IRH) will take the lead on defining the project management arrangements in close consultations with the UNECE and UNDP Cos.

During the PPG stage roles of all the key stakeholders to be involved in project implementation will be identified.

i. Completion of the required official endorsement letters

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

Within 2 weeks of the first mission the national consultants will submit their reports (a) draft baseline data report and other reports required. Within 3 months of the last mission to the countries, the international consultant will submit all draft documents, including draft project document and draft GEF request for CEO Endorsement. A GEF OFP endorsement letter will also be required for any new participating countries to a global or regional program/project that was not included with the PIF/PFD submission. Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PPG approval.

Component C: Validation workshops and report

Validation workshops (2 national in each country and one regional) will be held with the relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document, as well as other documents for the submission to GEF sec.. The validation workshops will discuss the project results framework matrix and agree on roles and responsibilities of all parties involved in the implementation of the project. Validation workshop reports will be prepared for projects with an overall safeguards risk rating of moderate or high.

At least one month prior to the validation workshop the international consultant will circulate to all stakeholders the draft complete documentation package so that all stakeholders have a chance to get acquainted with the project.

Within 1 month of the validation workshops, the international consultants will submit to UNESCO IHP, UNDP Belarus and UNDP Istanbul Regional Hub a complete draft documentation package for review and technical clearance.

Total Budget and Work Plan for GEF PPG

Award ID:	00107972	Output ID:	00108031
Award Title:	Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems		
Business Unit:	BLR10		
Project Title:	Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems		
Project (PIMS) ID:	5876		
Implementing Partner:	UNESCO-IHP		

GEF Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Note
Project preparation grant to finalize the UNDP-GEF project document for project "Fostering multi-country cooperation over conjunctive surface and groundwater management in the Bug and Neman Transboundary River Basins and the underlying aquifer systems"	UNESCO	62000	GEFTF	71200	International Consultants	38,500	A
				71300	Local Consultants (Ukrainian and Belarusian)	34,000	B
				71600	Travel	11,500	C
				75700	Working Meetings and Workshops	16,000	D
					PROJECT TOTAL	100,000	

Budget Notes:

Budget Note	Items	Total estimated person weeks	Budget	Budget Note
A – International Consultants	UNDP Prodoc, GEF RCE, GEF Tracking Tool	32	\$38,500	Please see Annex 3 for key responsibilities and ToRs.
B – National Consultants (Belarusian and Ukrainian)	Baseline Data Report, Gender Analysis, Stakeholder Analysis, national co-financing	47	\$34,000	
C – Travel	Trips to and inside Belarus and Ukraine, trips abroad for consultations with UNECE and UNESCO		\$ 11,500	Travel for: (1) Airfare and DSA for the international consultant; (2) Local travel of experts within Belarus and Ukraine; (3) Participation of Belarusian and Ukrainian representatives, as appropriate, in working meetings and validation workshops in Belarus and Ukraine; and (4) Consultations with international stakeholders (UNECE, UNESCO, respective Polish and Lithuanian stakeholders).
D – Working meetings and workshops	Inception meeting and validation Workshops		\$ 16,000	Stakeholder consultations and validation meetings – 2 national and 2 regional: Venue, facilitation, interpretation, as necessary, and materials

GEF PPG Activities Timeframe and Budget

PPG Activity	Timeframe (in months) ¹																		Responsibility	Budget
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18		
Component A: Preparatory Technical Studies & Reviews																			UNESCO	34,000
Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request and Mandatory Annexes					X	X													UNESCO	50,000
Component C: Validation workshops and validation workshop report																			UNESCO	16,000
Submission to GEF Sec and Approval																			UNESCO	N/A

(X = mission to Belarus and Ukraine)

¹ for an FSP project - 18-month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document

Mandatory Annexes

Annex 1: GEF CEO PIF/PPG approval letter



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:	9767
Agency(ies):	UNDP
Agency ID:	5876 (UNDP)
Focal Area:	International Waters
Project Type:	Full-sized Project
Country(ies):	Regional (Belarus, Ukraine)
Name of Project:	Fostering Multi-country Cooperation over Conjunctive Surface and Groundwater Management in the Bug and Neman Transboundary River Basins and the Underlying Aquifer Systems
Indicative GEF Project Grant:	\$2,731,050
Indicative Agency Fee:	\$259,450
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
Funding Source:	GEF Trust 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	GET	\$103,780	\$155,670	\$259,450

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: Summary of Consultants Financed by the Initiation Plan

Summary Tasks to be Performed
Local Consultants
National Consultant on Surface Waters – National Consultants Team Leader (Belarus) – 70 working days
National Consultant on Ground Waters (Belarus) - 45 working days
National Consultant on Gender (Belarus) - 25 working days
National Consultant on Surface Waters (Ukraine) – 50 working days
National Consultant on Ground Waters (Ukraine) – 45 working days
International consultant
International Consultant on International Waters Management Project Design - Team Leader – 45 working days
International consultant- Regional coordinator – 65 working days
International consultant- M&E Specialist – 50 working days

Annex 3. Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)

Position, Type and Cost	Role, Deliverables and Qualifications
<p>International Consultant on International Waters Management Project Design - Team Leader)</p> <p>Position: International Waters Project Development Specialist (GEF PPG Team Leader)</p> <p>Type: IC</p> <p>Cost per person week: USD \$2,000</p> <p>Number of person weeks needed: 9 weeks (45 working days)</p>	<p>Role</p> <p>The International Consultant on International Waters Management Project Design - Team Leader 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, International Waters Tracking Tool and all the 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. S/he will arrange at least two visits to Belarus and Ukraine (1 per country). The fact-finding visits should take place within 6 months of starting the assignment. The International consultant will be also responsible for liaising with the key project international stakeholders, namely UNECE Water Secretariat, UNESCO, UNDP Belarus and Ukraine country offices and UNDP Istanbul Regional Hub to clearly define and describe their role in the project implementation process.</p> <p>Deliverables</p> <ul style="list-style-type: none"> ▪ <u>Management of the GEF PPG Team</u> <ul style="list-style-type: none"> ○ Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the National Consultants (NCs) – prior to missions; ○ Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and ○ Verify and ensure that all project components are technically sound and cost effective. ▪ <u>Preparatory Technical Studies and Reviews (Component A):</u> With inputs from the other national consultants, as detailed in their respective TORs: <ul style="list-style-type: none"> ○ 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 (and will be included in the prodoc); ○ Lead the development of the project results framework (PRF) to be included as an annex to the project document and discussed at the validation workshop and later finalized; ○ Oversee the stakeholder analysis and consultations and ensure that they are complete and comprehensive; ○ Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework; ○ 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; ○ Oversee the consultations with partners regarding financial planning; and ○ Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs.

- Formulation of the ProDoc, CEO Endorsement Request and Mandatory, International Waters Tracking Tool and Project Specific Annexes (Component B): With inputs from the other national consultants, as detailed in their respective TORs, and based on international best practice:
 - Develop, present and articulate the project’s **theory of change**;
 - Develop the **Results Framework** in line with UNDP-GEF policy;
 - Develop a detailed **Monitoring and Evaluation Plan and Budget**;
 - Oversee and ensure the preparation of a **Stakeholder Engagement Plan**;
 - Oversee and ensure the preparation of a **Gender Action Plan and Budget**;
 - 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;
 - Prepare the required **GEF tracking tool(s)**;
 - Secure and present agreements on **project management arrangements with clearly defined roles of stakeholders in project management**;
 - Ensure the completion of the **required official endorsement and co-financing letters**; and
 - 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.²

- Validation Workshop (Component C):
 - Lead the preparation of validation workshops in Ukraine and Belarus 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
 - Oversee all necessary revisions that arise during the workshop.
 - Ensure completion of Validation Workshop Report.

- Final Deliverables:
 - Consolidation of all technical and consultation inputs including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance;
 - Completion of the GEF CEO Endorsement Request;
 - All documentation from GEF PPG (including technical reports, etc...); and
 - Validation Workshop Report.

Qualifications

- Master’s degree or higher in a relevant field, such as water management, environmental management *etc.*;
- Minimum 15 years of demonstrable experience in the technical area of water management, international waters or related fields;
- Previous proven experience in successfully preparing GEF projects for UNDP or other international agencies that were approved within 18 months of the start of the assignment;
- Previous experience of working in the Eastern European and/or CIS countries in the international waters thematic area will be an asset.

² Please verify with the UNDP-GEF team that the correct templates are being used.

	<ul style="list-style-type: none"> ▪ Previous experience related to managing or researching international waters is an advantage; ▪ Strong writing and communication skills; ▪ Fluency in English is required (knowledge of Russian is an advantage but not required).
<p>International Consultant – Regional Coordinator</p> <p>Position: Regional Coordinator</p> <p>Type: IC</p> <p>Cost per person week: US\$1,000</p> <p>Number of person weeks needed: 13 weeks (65 working days)</p>	<p>Role</p> <p>The role of the International Consultant is to provide a regional perspective and support to the Team Leader and national consultants within each country to ensure the overall scientific quality of the studies. In specific s/he will be responsible for carrying out tasks related to PPG Components A, B and C, including:</p> <p>Deliverables</p> <ul style="list-style-type: none"> ▪ <u>Component A: Technical review</u> <ul style="list-style-type: none"> ○ Review and comment on the baseline studies and assessments carried out by national consultants under Component A, and develop the regional assessment; ○ Mobilize and engage stakeholders during the project design under Component A. ▪ <u>Component B: Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes</u> <ul style="list-style-type: none"> ○ Institutional arrangements, monitoring and evaluation ○ Draft and coordinate the development and finalization of the project documentation: finalization of project results framework; definition of the M&E work plan, sustainability plan, and management arrangements; ○ Carry out stakeholder consultations in relation to Component B. ▪ <u>Component C: Finalization of project document</u> <ul style="list-style-type: none"> ○ Draft and finalize the Project Document. Incorporate all technical inputs and results of consultations into a Project Document (including annexes) following all UNDP/GEF guidelines and requirements. ○ Organize and participate in the inception and regional stakeholder validation workshops. <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master’s degree or higher in a relevant field, such as Hydrology ▪ Minimum 10 years of demonstrable experience in the technical area of water management Project Development ▪ Fluency in written and spoken English and Russian
<p>M&E Specialist</p> <p>Position: Impact Assessment and M&E Expert</p> <p>Type: IC</p> <p>Cost per person-week: US\$ 750</p> <p>Number of person-weeks needed: 10 weeks (50</p>	<p>Role</p> <p>The Impact Assessment and M&E Expert will provide a monitoring plan with detailed information on the progress of the outputs, deliverables and planned activities and provide possible actions to be taken to assure timely delivery of the outputs.</p> <p>Deliverables</p> <ul style="list-style-type: none"> ▪ Preparatory Technical Studies and Reviews (Component A): Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ul style="list-style-type: none"> ○ Prepare inputs for the 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; ○ Support the stakeholder analysis and consultations and ensure that they

<p>working days)</p>	<p>are complete and comprehensive;</p> <ul style="list-style-type: none"> ○ Support the preparation of the gender analysis; ○ Support the 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 support the iterations of that screening in an iterative fashion throughout the PPG, as appropriate; ○ Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. <ul style="list-style-type: none"> ▪ Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B): Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader. ▪ Validation Workshop (Component C): <ul style="list-style-type: none"> ○ Contribute to the validation workshop; and ○ Support all necessary revisions that arise during the workshop, as appropriate. <p>Qualifications</p> <ul style="list-style-type: none"> ▪ Master’s degree or higher in a relevant field, such as Hydrology; ▪ Minimum 7 years of demonstrable experience in the technical area of project management; ▪ Fluency in written and spoken English
<p>National Consultant on Surface Waters – National Consultants Team Leader (Belarus)</p> <p>Type: NC</p> <p>Cost per person week: USD \$750</p> <p>Number of person weeks needed: 14 weeks (70 working days)</p>	<ul style="list-style-type: none"> ○ To lead the team of national experts – Belarusian and Ukrainian. ○ To analyse the PIF and provide inputs to the project proposal, with focus on the surface waters management in Belarus, including the relevant Belarusian legislation. ○ To make an inventory of relevant materials to be used in the development of the project proposal. ○ To develop a work plan detailing the practical steps required to develop the project proposal. ○ To liaise with stakeholders to build strong country ownership of the project and support for project efforts. ○ To lead the organization of the national and international stakeholder working meetings and workshops in Belarus and Ukraine; to provide expert input during the meetings and workshops and to review and collect comments on the proposed project activities to ensure agreement is reached at the national level among key stakeholders ○ To advise on the development of the budget proposal, costing estimates, risk analysis, M&E plan, logical framework, stakeholder Involvement and action plan for incorporation of the gender aspects in the project. ○ To obtain co-financing letters from Belarusian stakeholders and to facilitate co-financing letters obtaining from Ukrainian stakeholders. ○ To provide additional inputs as required to fulfil the duties to ensure successful finalization of the project document. ○ To review the translated Russian version of the UNDP Project Document, GEF CEO Endorsement Document, Tracking Tool and ensure that the Russian version of the listed documents correspond fully to the respective English version.
<p>National Consultant on Ground Waters (Belarus)</p>	<ul style="list-style-type: none"> ○ To analyse the PIF and provide inputs to the project proposal, with focus on the ground waters management in Belarus, including the relevant Belarusian legislation. ○ To make an inventory of relevant materials to be used in the development of the project proposal.

<p>Type: NC</p> <p>Cost per person week: USD \$750</p> <p>Number of person weeks needed: 9 weeks (45 working days)</p>	<ul style="list-style-type: none"> ○ To develop a work plan detailing the practical steps required to develop the project proposal. ○ To liaise with stakeholders to build strong country ownership of the project and support for project efforts. ○ To assist in organization of the national and international stakeholder working meeting; to provide expert input during the meetings/workshops and workshops in Belarus and to review and collect comments on the proposed project activities to ensure agreement is reached at the national level among key stakeholders ○ To advise on the development of the budget proposal, costing estimates, risk analysis, M&E plan, logical framework, stakeholder involvement with respect to ground waters management in Belarus. ○ To assist the National Consultant on Surface Waters – National Consultants Team Leader in obtaining co-financing letters from Belarusian stakeholders. ○ To provide additional inputs as required to fulfil the duties to ensure successful finalization of the project document.
<p>National Consultant on Gender (Belarus)</p> <p>Type: NC</p> <p>Cost per person week: USD \$500</p> <p>Number of person weeks needed: 5 weeks (25 working days)</p>	<ul style="list-style-type: none"> ○ Review the available documentation on the project, including the project PIF, draft CEO Endorsement Document and UNDP Project Document. ○ Develop a participatory gender analysis examining the different needs, roles, access to and control over resources of women and men impacted by the project within the local context; collect gender responsive baseline data relevant to project planning and monitoring; identify the share of female and male direct beneficiaries. ○ Draft a gender strategy for the project and ensure that gender considerations are mainstreamed into all relevant components of the project document. The strategy should include a gender action plan with indicators, targets and time bound outputs to advance women’s empowerment and promote gender equality. The proposed gender related targets, activities and outputs should be realistic and achievable within the project implementation period. ○ Conduct consultations with the key stakeholders in Belarus and Ukraine including women organizations on the gender issues related to the project and collect the stakeholders feedback. Incorporate the comments, if appropriate, into the project RF and gender strategy. ○ Provide inputs to the UNDP Social and Environmental Screening Procedure including assessing potential negative impacts of the project on gender equality and specific activities to mitigate and/or minimize them. ○ Provide specific recommendations for capacity building scope related to the communication and gender aspects of the project. ○ Advise the international and national consultants and the UNDP to ensure that stakeholders consultations with relevant public (and private) authorities and civil society organizations related to the gender aspects take place. ○ Provide advice for the design of an appropriate stakeholder involvement strategy related to the gender aspects taking into account the national particularities.
<p>National Consultant on Surface Waters (Ukraine)</p> <p>Type: NC</p> <p>Cost per person week: USD \$750</p> <p>Number of person weeks needed: 10</p>	<ul style="list-style-type: none"> ○ To analyse the PIF and provide inputs to the project proposal, with focus on the surface waters management in Ukraine, including the relevant Ukrainian legislation. ○ To make an inventory of relevant materials to be used in the development of the project proposal. ○ To develop a work plan detailing the practical steps required to develop the project proposal. ○ To liaise with stakeholders in Ukraine to build strong country ownership of the project and support for project efforts. ○ To organize national and international stakeholder working meetings and workshops in Ukraine; to provide expert input during the meetings/workshops and to review and collect stakeholder comments on the proposed project activities to ensure agreement is reached at the national level among key Ukrainian stakeholders. ○ To advise on the development of the budget proposal, costing estimates, risk

<p>weeks (50 working days)</p>	<p>analysis, M&E plan, logical framework, stakeholder Involvement with respect to surface waters management in Ukraine.</p> <ul style="list-style-type: none"> ○ To obtain co-financing letters from the respective Ukrainian stakeholders. ○ To facilitate translation of the UNDP Project Document, GEF CEO Endorsement Document, Tracking Tool into Ukrainian; to review the translated documents and ensure that the Ukrainian version of the listed documents correspond fully to the respective English version. ○ To provide additional inputs as required to fulfil the duties to ensure successful finalization of the project document.
<p>National Consultant on Ground Waters (Ukraine)</p> <p>Type: NC</p> <p>Cost per person week: USD \$750</p> <p>Number of person weeks needed: 9 weeks (45 working days)</p>	<ul style="list-style-type: none"> ○ To analyse the PIF and provide inputs to the project proposal, with focus on the ground waters management in Ukraine, including the relevant Ukrainian legislation. ○ To make an inventory of relevant materials to be used in the development of the project proposal. ○ To develop a work plan detailing the practical steps required to develop the project proposal. ○ To liaise with stakeholders in Ukraine to build strong country ownership of the project and support for project efforts. ○ To facilitate organization of national and international stakeholder working meetings and workshops in Ukraine; to provide expert input during the meetings/workshops and to review and collect stakeholder comments on the proposed project activities to ensure agreement is reached at the national level among key Ukrainian stakeholders. ○ To advise on the development of the budget proposal, costing estimates, risk analysis, M&E plan, logical framework, stakeholder Involvement with respect to ground waters management in Ukraine. ○ To assist in obtaining co-financing letters from the respective Ukrainian stakeholders. ○ To provide additional inputs as required to fulfil the duties to ensure successful finalization of the project document.