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20 April 2017

Dear Ms. Eziakonwa

**Subject: PPG Ethiopia: PCB Management in Ethiopia to meet the 2025 Stockholm Convention deadline – Phase I] – PIMS No. 5861 - ATLAS BU: ETH10 – Project: 00100381 – Output:00103366**

I am pleased to delegate to you as the UNDP Resident Representative the authority to sign the Initiation Plan for the above-mentioned Project Preparation Grant (PPG) on behalf of UNDP, and to commence development of the main project. The Initiation Plan, which amounts to a total of **US \$50,000**, has received its final approval in accordance with the established GEF procedures (CEO approval letter attached for ease of reference).

I would like to bring to your attention the new [GEF policy on cancellations](#). All Medium Size Projects must receive CEO Endorsement no later than 12 months after the GEF Council Approval of the PIF. If the fully complete Project Document is not submitted to the GEF Secretariat for CEO Endorsement before the 12-month deadline, the project will be automatically cancelled. To meet this deadline, the fully complete Project Document must be submitted to the UNDP-GEF Unit for final technical and financial clearance within **10 months** of GEF Council Approval.

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

**Next steps and mandatory GEF-specific requirements:**

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

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

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

*Ms. Ahunna Eziakonwa*  
*Resident Representative/Resident Coordinator/Humanitarian Coordinator*  
*UNDP Addis Ababa*  
*Ethiopia*

The total fee over the lifetime of the above mentioned project for these Country Office support services will be US \$1,562.28. This fee will be paid directly by the UNDP-GEF Unit to the XB account of the Country Office, based on project delivery, audit compliance, and compliance with the GEF project management requirements outlined below.

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

3. *GEF-specific project management requirements:*

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

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

Yours sincerely,



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

## United Nations Development Programme

cc: Mr. Abdoulaye Mar Dieye - Assistant Administrator and Regional Director  
Ms. Ruby Sandhu-Rojon - Deputy Regional Director  
Ms. Linda Maguire, Country Advisor, RBA, New York,  
Mr. Gerd Trogman, Director a.i., UNDP RSC for Africa, Addis Ababa  
Ms. Phemo Kgomotso, UNDP-GEF Technical Specialist/Team Leader, Addis Ababa  
Mr. Challa Getachew, Country Support Team, Addis Ababa  
Ms. Samuel Bwala, Country Director, Addis Ababa, Ethiopia  
Ms. Kidanua Abera, Programme Analyst, Addis Ababa, Ethiopia  
Mr. Etienne Gonin, UNDP-GEF Regional Technical Advisor, Istanbul

**Annex 1: CEO approval letter for PPG**



**Naoko Ishii**  
CEO and Chairperson

February 01, 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 approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9669
Agency(ies):	UNDP
Agency ID:	5861 (UNDP)
Focal Area:	Chemicals and Waste
Project Type:	Medium-sized Project
Country(ies):	Ethiopia
Name of Project:	PCB Management in Ethiopia to Meet the 2025 Stockholm Convention Deadline - Phase 1
Indicative GEF Project Grant:	\$1,990,000
Indicative Agency Fee:	\$189,050
PPG Grant:	\$50,000
PPG Agency Fee:	\$4,750
Funding Source:	GEF Trust Fund

This PIF 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 submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,

  
Naoko Ishii  
Chief Executive Officer and Chairperson

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

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

**Annex 2: Project Cycle Management Services**

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

<sup>1</sup> As per UNDP POPP with additional SOF requirements where relevant.