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5 December 2019

Dear Mr. BADAWI,

**Subject: Initiation Plan/PPG Kenya: Seventh Operational Phase of the GEF Small Grants Programme in Kenya – PIMS No. 6448 - ATLAS BU: KEN10 - Proposal No.:00124153 - Project No.:00119196**

I am pleased to delegate to you as the UNDP Resident Representative the authority to sign the Initiation Plan/GEF PPG for the above-mentioned Project Preparation Grant (PPG) on behalf of UNDP, and to commence development of the main project. The PPG, which amounts to a total of USD 84,000, has received its final approval in accordance with the established GEF procedures (GEF CEO PPG Approval letter attached for ease of reference).

I would like to bring to your attention the new [GEF Cancellation Policy](#) in effect for all GEF projects approved as of 1 March 2019. This new policy has two cancellation points:

- 1. Submission for CEO endorsement:** GEF Agencies have a maximum of **12 months** to submit a Project Document that is compliant with both GEF and UNDP requirements. Failure to submit a complete package within the 12-month deadline will result in automatic cancellation of the project by the GEF and the grant funds will be returned to the GEF for re-programming. To meet this deadline, the fully complete Project Document and supporting documentation must be submitted to the UNDP-GEF Unit for technical and financial clearance within **10 months** of PIF Approval which is *16 October 2020* for this project.
- 2. Actual CEO endorsement:** The project must be CEO endorsed within 18 months of PIF Approval or the project will be automatically cancelled by the GEF and the grant funds will be returned to the GEF for re-programming. This means that the documentation submitted to the GEF Secretariat within 12 months of PIF Approval (see above) must be fully complete, with GEF, Council and STAP comments addressed, to be fully ready for CEO endorsement within 18 months of PIF 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*

Mr. Walid BADAWI  
Resident Representative  
UNDP Nairobi  
Kenya

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*Annual Work Plan*, along with a copy of the signed cover page, is sent to Ms. Diana Salvemini , Regional Technical Advisor (RTA) in New York.

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 (see annex 2).

The total fee over the lifetime of the above-mentioned project for these Country Office support services will be USD 2,624.62. 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 cost. 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.

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 must be submitted in Annex C of the GEF CEO Endorsement template.
  - This preparatory phase must be operationally completed in Atlas once the main project is endorsed by the GEF CEO. Financial closure should follow within 6 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/documents/communication-and-visibility>. 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,



Mr. Pradeep Kurukulasuriya  
Executive Coordinator & Director – Global Environmental Finance  
Bureau for Policy and Programme Support (BPPS)/Global Policy Network  
United Nations Development Programme

cc: Ms. Ahunna Eziakonwa, Assistant Administrator and Regional Director, RBA  
Ms. Noura Hamladji – Deputy Assistant Administrator and Deputy Regional Director, RBA  
Ms. Alessandra Casazza, Officer in Charge, Regional Service Center for Africa  
Ms. Mandisa Mashologu, Deputy Resident Representative, UNDP Kenya  
Mr. Mohamed Abchir, Regional Advisor, Regional Bureau for Africa, New York  
Ms. Phemo K. Kgomotso, UNDP-GEF Regional Team Leader, Regional Service Center for Africa  
Ms. Awa Dabo, Chief – Country Oversight Team at Regional Bureau for Africa, New York  
Ms. Jelena Raketec, Team Leader, Country Support Team, Kenya  
Ms. Nancy Chege, UNDP-GEF SGP National Coordinator, UNDP Nairobi, Kenya  
Ms. Diana Salvemini, UNDP-GEF Regional Technical Advisor, New York  
Mr. Stephen Gold, Head of Climate Change and GEF Principal Technical Advisor, New York

Annex 1: CEO approval letter for PPG



**Naoko Ishii**  
CEO and Chairperson

November 20, 2019

Mr. Pradeep Kurukulasuriya,  
GEF Executive Coordinator  
United Nations Development Programme  
New York, NY 10017

Dear Mr. Kurukulasuriya:

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 Approval
GEFSEC ID:	10359
Agency:	UNDP
Agency ID:	6448
Focal Area:	Multi Focal Area
Project Type:	Full-sized Project
Country:	Kenya
Name of Project:	Seventh Operational Phase of the GEF Small Grants Programme in Kenya
Indicative GEF Project Financing:	\$2,655,726
Indicative Agency Fee:	\$252,294
PPG:	\$84,000
PPG Fee:	\$7,980
Funding Source:	GEF Trust Fund

Indicative Agency Fee Commitment:					
Agency	Trust Fund	20% to be committed at Council approval (US\$)	50% to be committed at first disbursement (US\$)	30% to be committed at mid-term review (US\$)	Total (US\$)
UNDP	GEFTF	50,459	126,147	75,688	252,294
<b>Total</b>		<b>50,459</b>	<b>126,147</b>	<b>75,688</b>	<b>252,294</b>

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Mr. Kurukulasuriya

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November 20, 2019

This PIF clearance and PPG approval are based on the understanding that the project is in conformity with GEF Trust Fund focal area strategies and with GEF policies and procedures. Please ensure that your final project document, having fully addressed all Secretariat, STAP and Council comments, will be endorsed within 18 months of Council approval of the work program.

Sincerely,



Naoko Ishii  
Chief Executive Officer and Chairperson

Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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Annex 2: Project Cycle Management Services/Oversight tasks to be undertaken during GEF PPG

Stage	Country Office <sup>1</sup>	UNDP/GEF at regional and global level
<p><b>Project Development</b></p> <p><b>To be undertaken before submission for CEO endorsement</b></p>	<p><i>Initiation Plan/GEF PPG:</i></p> <ul style="list-style-type: none"> <li>• Procurement, coordination, management and financial oversight of contracts associated with UNDP Initiation Plan</li> <li>• Discuss management arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination of procurement of international consultants as needed.</li> <li>• Assist in preparation of GEF PPG/Initiation Plan.</li> <li>• Technical support, backstopping and troubleshooting.</li> <li>• Support discussions on management arrangements.</li> <li>• Facilitate issuance of DOA.</li> <li>• Allocation of ASL</li> <li>• Financial oversight of PPG Expense</li> <li>• Reporting to the GEF on Financial Closure</li> </ul>
	<p><i>Project Document:</i></p> <ul style="list-style-type: none"> <li>• Support project development and 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) 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 as per UNDP POPP</li> <li>• Negotiate and obtain clearances and signatures – Government, UNDP, Implementing Partner, co-financiers, etc.</li> <li>• 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>	<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>

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

Annex 3: Deadlines to be met by the Country Office

Task to be undertaken by Country Office	Deadline	Notes
Initiation Plan/GEF PPG signed by UNDP RR	10 days after PPG Approval.	<ul style="list-style-type: none"> <li>The UNDP-GEF Unit will send the Initiation Plan and the PPG DOA to the Country Office/IP before the GEF Council meeting.</li> <li>The Regional UNDP-GEF team will inform the Country Office/IP when the Initiation Plan and DOA have been technically cleared by UNDP-GEF team. <b>This FLAGS</b> to the Country Offices to advertise the TORs for the PPG team.</li> <li>When the PPG is approved this <b>FLAGS</b> to the Country Office/IP that the deadline for contracting the PPG team including national consultants is 10 days away.</li> </ul>
PPG lead consultant signs contract	20 days after PPG Approval	<ul style="list-style-type: none"> <li>Once signed, these contracts must be sent by the CO/IP to the Regional UNDP-GEF team unless this contract was managed centrally by the UNDP-GEF team.</li> </ul>
Prodoc and CEO ER submitted for UNDP-GEF technical and financial clearance	10 months after PIF approval (and 6 months for MSPs)	<ul style="list-style-type: none"> <li>The PPG team must be made aware of this new deadline.</li> </ul>
Cancellation review meeting with Regional UNDP-GEF team	10 months after PIF approval (6 months for MSPs)	<ul style="list-style-type: none"> <li>If, in <b>EXCEPTIONAL</b> cases, the submission deadline of 10 months cannot be met (6 months for MSPs), the Country Office will need to have the GEF OFP sign a submission extension request letter. A template of this letter is being prepared by the GEF. This letter must be sent to the Regional UNDP-GEF team.</li> </ul>
CEO ER and Prodoc submitted by UNDP-GEF to GEF for CEO endorsement	<b>12 months (8 months for MSPs)</b>	<ul style="list-style-type: none"> <li><b>FLAGS:</b> to CO/IP to immediately operationally close the PPG. Financial closure of the PPG must happen within 6 months of operational closure.</li> </ul>
Standard UNDP Project Appraisal – LPAC	Before CEO endorsement	
CEO endorsement	<b>18 months (12 months for MSPs)</b>	
Prodoc signed by IP	25 days after CEO endorsement	<ul style="list-style-type: none"> <li>The signed ProDoc must be sent to the Regional UNDP-GEF team</li> </ul>
First disbursement of GEF grant	40 days after CEO endorsement	<ul style="list-style-type: none"> <li>First disbursement is a key milestone and is closely monitored by the GEF Council.</li> </ul>
Inception Workshop	60 days after CEO endorsement	<ul style="list-style-type: none"> <li><b>NOTE:</b> Inception Report to be completed within one month of workshop</li> </ul>
PIRs	Due annually in July	
Posting of Mid-term Review to UNDP Evaluation Resource Center		<ul style="list-style-type: none"> <li><b>NOTE:</b> MTRs deadline noted on ProDoc cover page. CO must upload MTR to UNDP ERC and prepare management response within 6 weeks of posting. Vertical Fund Unit will reverse GEF Fee payment to CO if MTR and management response not done on time.</li> </ul>

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		<ul style="list-style-type: none"> <li>• <b>MSPs</b> are not required to do an MTR.</li> </ul>
<b>One Project Extension on an exceptional basis only</b>		<ul style="list-style-type: none"> <li>• <b>NOTE:</b> the project can be extended only once on an exceptional basis only, after approval from the UNDP-GEF Executive Coordinator.</li> </ul>
<b>Posting of TE to UNDP Evaluation Resource Center</b>		<ul style="list-style-type: none"> <li>• <b>FLAG:</b> CO to operationally close project</li> <li>• <b>NOTE:</b> TE deadline noted on ProDoc cover page.</li> <li>• CO must upload TE to UNDP ERC and prepare management response within 6 weeks of posting.</li> </ul>
<b>Operational closure</b>	<b>Within 3 months of posting of TE</b>	<ul style="list-style-type: none"> <li>• <b>FLAG:</b> CO to operationally close project</li> <li>• <b>NOTE:</b> Date reported to GEF SEC and GEF Trustee</li> </ul>
<b>Financial closure</b>	<b>Within 6 months of operational closure</b>	<ul style="list-style-type: none"> <li>• <b>NOTE:</b> Date reported to GEF SEC and GEF Trustee. GEF SEC monitoring financial closure within 12 months of operational closure</li> </ul>