

### Initiation Plan / GEF PPG

Project Title: Africa Minigrids Program - Niger

Country: Niger

Country Programme Outcome: Supporting African countries to increase energy access by reducing the cost and increasing the commercial viability of low-carbon mini-grids.

Gender Marker rating: GEN2

**SESP Pre-Screening Categorization:** Substantial

ATLAS Award ID's:

00139664

ATLAS Project/Output ID's:

00129206

PIMS number: 6659

Total budget:

US\$ 50,000

Allocated resources:

GEF

US\$ 50,000

Management Arrangement: DIM

AGREED BY

Diana Louise Ofwona

Resident Representative

**UNDP Niger** 

Signature

Day/Month/Year

15/02/2022

Date



TABLE OF CONTENTS	
I. Brief Description of the Initiation Plan/GEF PPG	32
II. Stakeholder Engagement, public disclosure and other requirements	62
III. GEF PPG Activities	72
Component A: Preparatory Technical Studies & Reviews	
Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Re	equest, and
Mandatory and Project Specific Annexes	<u>9</u> 2
Component C: Validation Workshop and Report	
IV. Total Budget and Work Plan for GEF PPG	122
V. GEF PPG Activities timeframe and budget	132
VI. Mandatory Annexes	<u>14</u> 2
Annex 1: GEF CEO PIF/PPG Approval Letter	142
Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Pres	paratory Grant
(GEF PPG)	<u>15</u> 2

### I. Brief Description of the Initiation Plan/GEF PPG

### **Background**

This initiation Plan, developed by the UNDP Africa Minigrids Program Core Team, describes how the GEF project preparation grant of \$50,000 will be implemented to develop the complete UNDP project documents for the "GEF-7 Africa Minigrids Program - CO Niger" (AMP), including supporting documentation for submission to the GEF for CEO endorsement.

The Child Project Concept Notes submitted by CO Niger was included as an addendum to the AMP Program Framework Document approved in 2019 by the 57<sup>th</sup> GEF Council Meeting, during the June 2021 GEF Council Meeting (60<sup>th</sup>).

This document outlines all the project development activities that need to be undertaken during the project preparation phase (or PPG phase) to complete mandatory sections of the UNDP-GEF Project Documents (e.g. Theory of Change, Gender Analysis, Stakeholder Engagement Plan, SESP, etc.) as well as additional eligible project development activities specific to the child projects objectives, theories of change and scope of activity, including development of activities for the child projects to contribute to the Regional Africa Minigrids Program platform and the broader Climate Change Mitigation Objectives.

### Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project document for the Africa Minigrids Program in CO Niger. As described in the Program Framework Document, this project aims to Support African countries to increase energy access by reducing the cost and increasing commercial viability of renewable energy minigrids.

This will be achieved, through 4 interlinked and mutually supportive components as follows:

- 1. Policy and Regulation
- 2. Business Model Innovation with Private Sector
- 3. Scaled-up Financing
- 4. Digital, Knowledge Management and Monitoring and Evaluation.

The following information is to be consulted as background for the GEF PPG phase:

- PFD and Child Project Concept Notes approved by the GEF Council
- SESP pre-screening (of PFD and child project concept notes)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein<sup>1</sup>
- UNDP policies and procedures
- UNDP-GEF guidance notes on GEF project development (which will be provided by the AMP Core Team and RTAs) and

<sup>&</sup>lt;sup>1</sup> The latest UNDP GEF Project Document Template will be shared by the AMP Core Team with the PPG team leader

The final outputs of the GEF PPG for each child project project are:

- 1. UNDP-GEF Project Document (ProDoc).
- 2. Mandatory annexes to the ProDoc listed in the Annotated UNDP-GEF Project Document Template.
- 3. GEF-7 CEO Endorsement Request for child projects and all mandatory annexes; and
- 4. Validation Workshop report (required for projects with a high SESP categorization; as appropriate for all others).

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.

Table 1: Key Dates for the project preparation phase (based on GEF's project cycle)

Milestone	Date	Notes/Comments
Deadline for submission of project documentation for final UNDP review and clearance		
Deadline for submission of project documentation for GEF CEO endorsement /approval	30 July, 2022	The first submission must be 6 months before the program commitment deadline. Failure to submit a Project Document (ProDoc) and CEO Endorsement Request (CEO ER) to the GEF Sec by this date will lead to the automatic cancellation of the project by the GEF Secretariat.
Indicative deadline for addressing GEF technical review comments and resubmitting for GEF CEO endorsement /approval	2022	
CEO Endorsement Deadline after which the project will be cancelled if not endorsed	.,	GEF Endorsement must be by the program commitment deadline. If the project has not been CEO endorsed by this date, then it will be automatically cancelled by the GEF Secretariat.

### **Management Arrangements**

The UNDP Country Office will manage the GEF PPG budget and payments. The UNDP NCE/BPPS will oversee the project development process in full consultation with the Regional Technical Advisors and Deputy Resident Representatives and Environmental Focal Points at the UNDP Country Offices. The UNDP NCE/BPPS will provide centralized support to the recruitment of international consultants (Country Team Leader, Gender Expert and Safeguards expert) and as much as possible support the identification of national consultants. The CO will authorize the UNDP NCE/BPPS for using part of the PPG funds for the recruitment of one Safeguards Expert and one Gender Expert to support Project Document development for all countries in the AMP Round 2. 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 NCE Principal Technical Advisor will chair the Working Group. Working Group members will include: Deputy Resident Representatives and

Environmental Focal Points of all countries included in this round, Regional Technical Advisors assigned to the different countries, the AMP Core Team, and other specific national counterparts where relevant.

Individual consultants identified and where relevant recruited centrally:

- 1. Project Development Team Leader (identified by NCE BPPS, recruited by CO)
- 2. Safeguards Specialist with a good understanding of stakeholder engagement (*identified and recruited by NCE BPPS*)
- 3. Gender Specialist with a good understanding of stakeholder/community engagement (*identified* and recruited by NCE BPPS)
- 4. National PPG consultant (identification supported by NCE BPPS, recruited by CO)

The Terms of Reference (TORs) for the individual consultants are included in Annex 2 of this initiation plan.

### Roles and Responsibilities during the PPG phase

To help ensure coherence and have a clearer picture of what is expected from each party during the PPG phase, the following division of tasks and responsibilities is expected:

	PPG Team	Country Office	AMP Core Team and RTA's
-	Coordination of the national consultancies in each country: as detailed in initiation plan and RFP TOR  Preparatory Technical Studies and Reviews for all 7 National Projects:	- Support project development by assisting the PPG Team to identify and facilitate negotiations with relevant partners and co-financiers and supervise country consultations.	<ul> <li>Prepare Terms of Reference for PPG Team individual consultancies and support (Country Team Leader) and initiate (Gender and Safeguards experts) the hiring process.</li> </ul>
	as detailed in initiation plan and RFP TOR	- Prepare initiation plan	- Verify and ensure that all
2	Formulation of Project Documents (ProDoc), CEO Endorsement Requests and all Mandatory and Project Specific Annexes (including securing co-financing letters) for	Initiate the hiring of national consultants (where possible supported by NCE BPPS)  On the basis of identification by NCE BPPS, recruit the international	project components are technically sound, in line with the AMP PFD results framework, cost effective and in compliance with UNDP GEF requirements
	each of the 5 national projects funded by the GEF: (as detailed in initiation plan and RFP TOR)	- Delegate Authority for GEF PPG	throughout the PPG Phase.  Delegate Authority for GEF
-	Formulation of Project Documents (ProDoc), and Project Specific	resources to AMP NCE/BPPS for recruitment of Gender and Safeguards consultants (supporting	PPG resources to Country Offices
	Annexes for each of the 2 national projects funded by the UNDP <sup>2</sup> : (as detailed in initiation plan and RFP TOR)	all countries in AMP Round 2)	<ul> <li>ASL request review and allocation of resources</li> </ul>

<sup>&</sup>lt;sup>2</sup> The PPG Team is responsible for ensuring programmatic consistency across project documents, including harmonized indicators expected results and ensuring compliance with the <u>GEF Project and Program Cycle Policy</u> guidelines.

- Organize and lead inception and validation workshops (as detailed in initiation plan and RFP TOR)
- Provide input to GEF comments after submission (as detailed in initiation plan and RFP TOR)
- Participate in the inception and validation workshops
- Prepare initial ASL requests in Atlas
- Ensure a HACT and PCAT is timely undertaken and shared with the PPG Team to inform capacity needs of the IP and incorporate relevant measures to cope with related risks in the Prodoc design. The HACT and PCAT must be shared with the PPG team during the first month of PPG phase
- Complete OAI Audit checklist required by GEF Secretariat and Council (to be signed by RR, Regional Bureau DRR and NCE Executive Coordinator
- Liaise with the government to get signed OFP notifications of delayed submissions, implementation support request, letters, etc.
- Undertake Operational and Financial Closure of PPG as per PPM requirements.

- Participate in the inception and validation workshops
- GEF Safeguards Quality
   Assurance and clearance
- GEF financial quality assurance
- GEF Technical quality assurance and submission to GEF within GEF cancellation
- Review and submission of Agency responses to GEF/Council/STAP comments

### 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 <u>Social and Environmental Standards</u> (SES), the <u>SES Guidance Note of Stakeholder Engagement</u>, the GEF's <u>Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality</u>, 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) and those who may be impacted (positively or negatively) by the project. Stakeholder Engagement and analysis must be conducted in an inclusive and gender-responsive manner, so that the rights of women and men and the different structural barriers, knowledge, needs, roles and interests of women and men are recognized and addressed.

Careful and complete documentation of stakeholder engagement is vital. Detailed evidence of all consultations will be prepared and submitted to UNDP. A list of the consulted stakeholders and details of the associated meetings will be included in the Stakeholder Engagement Plan (see section B-A below).



If the fully designed project has an overall Social and Environment Screening Procedure (SESP) categorization of <u>moderate</u> or <u>high</u>, then the following disclosure requirements apply:

- A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high risk projects and recommended for moderate risk projects.
- 2. The UNDP-GEF project document, SESP and related draft management plans, and other relevant information/documents, will be made available to the public on the UNDP Country Office 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.

See the SES Supplemental Guidance on Disclosure for more information.

### III. GEF PPG ACTIVITIES

### Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

### a. Desktop and field-based studies and data collection

This research should produce the background information required to prepare the ProDoc (including its Annexes) 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, assumptions and risks, developed in consultation with project stakeholders, for a robust Theory of Change, Results Framework and solid M&E plan;
- Review of relevant past and ongoing projects for lessons, including project evaluations; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

### b. Gender Analysis

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify appropriate measures to address these and promote gender equality and women's empowerment. See guidance available <a href="https://example.com/here/benefits/">here</a>.

### c. Social and Environmental Standards: Screening and Assessments

The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase has initially determined the overall risk categorization of these national projects as Substantial and highlighted potential safeguard risks to be further assessed during the PPG phase.



An Environmental and Social Management Framework (ESMF) will be prepared for all national child projects in case there is identified potential reallocation of any individuals during the identification of the minigrids sites, to ensure that the required assessments are carried out during the first phase of project implementation. A standard template for an environmental and social management <u>framework</u> is available here: <u>ESMF outline</u>. The ESMF and ProDocs 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; and the plan(s) have been disclosed and approved by the Project Board.

### d. Identification of project sites

Based on the above reviews, and through consultation with stakeholders, the targeted project pilot/demonstration sites will be identified during the first year of implementation based on the selection criteria that will be developed during the PPG phase. In very specific circumstances where project sites can already be identified during the PPG phase, these should include providing geographic coordinates, maps and shapefiles for inclusion in the ProDoc.

### e. Financial planning, co-financing and investment mobilized

Co-financing and investment mobilized – as defined in the GEF Policy and Guidelines on co-financing - will be confirmed, and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF is seeking high co-financing/investment mobilized to GEF grant ratios with a preference for grants, loans and other public investments over in-kind co-financing. The GEF also expects the Government to significantly support the costs associated with project execution (i.e. PMC).

### f. Stakeholder analysis

Building on the initial identification of stakeholders in the PIF, an appropriately-scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for development of the project's Stakeholder Engagement Plan and will facilitate prioritization of engagement activities with particular stakeholder groups and individuals. See the <a href="UNDP SES Guidance Note on Stakeholder Engagement">UNDP SES Guidance Note on Stakeholder Engagement</a>.

### g. Appraise and formulate the most appropriate project implementation and execution modality

The design of the project will comply with the UNDP's Program and Operations Policy and Procedures (POPP), Financial Regulations, and Programme and Project Management and Quality Standards, and UNDP-GEF guidance (which will be provided by the RTA). A full assessment of the most appropriate project implementation and management arrangements will be carried out in full consultation with the RTA, UNDP Country Office, Resident Representative (or their Deputy), the relevant government coordinating agency, and the GEF OFP.

UNDP should in general not have a role in project execution as project execution is the primary responsibility of the selected Implementing Partner (see UNDP-GEF Guidance Note for further information). Therefore, an assessment and the selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.

Project management arrangements need to be discussed and agreed early in the PPG phase. During the first two months of the PPG phase:



- For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments.
- Discuss the level of co-financing the Government and Implementing Partner are able to commit
  to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and
  expects the Government to significantly support the costs associated with project execution (i.e.
  PMC) for this project.
- Based on these assessments, select and confirm the Implementing Partner for the project in consultations with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see <u>UNDP's Policy on Selecting Implementing Partners</u>).
- If the Implementing Partner does not have full capacity to execute the project, and execution support is likely to be needed, discuss with the UNDP Resident Representative whether the choice of Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for the provision of execution support via Responsible Parties (see UNDP Policy on Selecting Responsible Parties). Discuss with the Implementing Partner the role of the responsible parties in project execution, and the execution support these parties could provide.
- Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services is to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.

### h. Other required studies

Depending on the outcome of the social and environmental safeguards assessment described above, Indigenous Peoples Plans (IPPs) may be prepared for some of the national child projects. In addition, a SIDS study may be prepared for Sao Tome & Principe

### 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**, the UNDP-GEF Project Document will be developed (following the latest annotated UNDP-GEF Project Document available), and the GEF CEO Endorsement Request (available <a href="https://example.com/here">here</a>) will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

### a. Stakeholder Engagement Plan:

At a minimum, the Plan must include the following elements:

- Stakeholders who have been and will be engaged (based on stakeholder analysis), including
  potentially marginalized or disadvantaged groups/individuals (the 'who');
- Key stakeholder objectives and interests (the 'why');



- Steps and actions to achieve meaningful consultation and inclusive participation, including
  information dissemination and any special measures required to ensure inclusive participation
  of marginalized disadvantaged groups/individuals the dissemination of information (the 'how');
- Breadth and depth of stakeholder engagement throughout the project cycle, and decisions that need to be made through stakeholder engagement (the 'what');
- Timeline for engagement activities and how they will be sequenced, including information disclosure (the 'when');
- · Indicators of stakeholder engagement and monitoring plan;
- Roles and responsibilities for ensuring effective stakeholder engagement through implementation of the Plan; and
- Resource requirements and associated budget.

For fully designed projects with a SESP rating of Moderate, Substantial and High:

- A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP guidance on GRM and sample TOR.
- A comprehensive Stakeholder Engagement Plan is required.

See the <u>UNDP SES guidance on Stakeholder</u> Engagement, the <u>standard SEP template</u>, and the <u>GEF guidelines on stakeholder engagement</u>.

### b. Gender Action Plan and Budget

The gender analysis conducted in **Component A** along with relevant findings from the stakeholder analysis and background studies, will form the basis of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party and budget which are linked to the project's components/outputs, outcomes and activities. 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.

See guidance available here.

### c. Social and Environmental Standards: Screening and Management Measures In line with the assessments conducted during Component A (above) and UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes, the SESP will be updated and all risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc.

ESMF option (Moderate, Substantial or High): The ESMF will identify the required management plans that will be prepared during project implementation.

See the <u>SES Guidance Note on Assessment and Management</u> for further guidance. Please contact UNDP for additional information as needed.

### d. GEF and LDCF/SCCF Core Indicators

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared. The completed <u>Core Indicators worksheet</u>—with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc.

The Core Indicators will be used in the project's Results Framework, at the Objective level, where appropriate. See the <u>GEF policy and guidance</u>.

### e. 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.

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/PFD approval.

### f. Mandatory Annexes

In addition to the documents listed above, the following Annexes should be prepared by the GEF PPG team:

- Project map and Geospatial Coordinates of project sites
- Multi Year Work Plan
- Monitoring Plan
- UNDP Risk Register
- Overview of Technical Consultancies
- GEF 7 Taxonomy
- Initial Project Team Procurement Plan and TORs for key Project Team staff

Upon a request from the UNDP Regional Technical Adviser during the PPG implementation, the PPG team may be required to prepare additional annexes.

### g. 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. Standard text from the governance and management arrangement from the GEF-7 template should never be removed.

### Component C: Validation Workshop and Report

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



# IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Atlas Award ID:	00139664
Atlas Project/Output ID:	00129206
Award Title:	Africa Mini-grids Program – CO Niger
Business Unit:	NER10
Project Title:	Africa Mini-grids Program – CO Niger
PIMS number:	6659
Implementing Partner:	UNDP

75700 Workshops
GEF
71300 74100 71600 75700
71300 Local Consultants 74100 Professional Services Nat. 71600 Travel 75700 Workshops
7500 5000 3000 7000
e d

Budget Notes	Items	Days	Daily Fee (US\$)	Budget (US\$)
ഖ	International Consultants (Country Team Leader,			27,500
	Gender Expert, Safeguards Expert)			
Ь	National project development consultant			7,500
С	National consultants for HACT assessment of			5,000
	Implementing Partner / Responsible Party			
d.	Travel of national consultant in country			3,000
f	Validation workshops			7000
			Total PPG	50,000
			budget	



## V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

Phase	No	PPG Deliverable	Planning	Review and Approvals Required
Project Preparation Phase work planning and initial	+	Detailed methodology and project preparation phase work plan	28 February 2022	UNDP Country Offices,
stakeholder consultations	2.	Project inception workshop reports		
Drafting of project documents	μ	Draft UNDP project documents	31 March 2022	UNDP COs and RTAs
Virtual mission: Final consultations and validation workshops	4.	Validation Workshop Reports	31 May 2022	UNDP COs and RTAs
Submission of the documents to UNDP for technical, financial, social & environmental clearance and submission to GEF SEC for CEO endorsement/approval	'n	Final draft of the UNDP-GEF Project Documents (UNDP project document for 7 national projects, and CEO Endorsement Request/Approval for 5 GEF-funded national projects)	30 July 2022	UNDP COs, RTAs and PTA
Address comments from UNDP and GEF SEC technical review process	6.	Final UNDP-GEF Project Documents including all revisions arising from the UNDP and GEF technical review process	30 <sup>th</sup> July – 31 <sup>st</sup> December 2022	UNDP COs and RTAs



### VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter Insert the approval letter as an image or link to the file in PIMS.

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