



**PROGRAMMING GUIDEBOOK FOR
THE UNDP-GEF PROGRAMME ASSISTANTS**

◆ June 2011 ◆

FOREWORD

The UNDP-GEF Programme Assistants are the backbone of Operations as they play a central role facilitating the UNDP and GEF processes from project development through project execution, monitoring, evaluation, closure and lessons learnt.

The knowledge required by the UNDP-GEF Programme Assistants to perform these functions efficiently is extensive and dictated the need for a practical tool to be used on a daily basis thus the *UNDP-GEF Programming Guidebook* (*'the Guidebook'*).

Inspired by engineering manuals, the process-based Guidebook identifies and describes 20 critical work processes, the completion of which is part of the Programme Assistants' daily tasks. Each process description is color-coded and presented in a self-contained manner so as to be consulted independently. In order to truly benefit from the *Guidebook*, its users must have a good understanding of the UNDP and GEF project cycles.

Important

- The *UNDP-GEF Programming Guidebook* is meant for a broad audience and does not take into consideration the specific internal arrangements of each office.
- The current information management system in use is PIMS-2.

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1. INTRODUCTION

How to use the *UNDP-GEF Programming Guidebook*

For maximum benefits, the following approach is recommended:

- gain familiarity with the *UNDP Programme and Operations Policies and Procedures (POPP)* and *UNDP-GEF Programming Manual* (available on UNDP-GEF Intranet at <http://content.undp.org/go/userguide/> and <http://intra.undp.org/gef> respectively) and ensure that you have a clear understanding of the UNDP and UNDP-GEF project cycles. This is an absolute prerequisite to a good use of the *Guidebook*!
- use the *UNDP-GEF workspace* as your home page (<http://eeg.undp.org>) for quick access to the *UNDP-GEF Programming Manual* and other important information.
- keep a hard copy of the *Guidebook* within reach for quick and frequent access throughout the day.
- refer to the process numbers in the orange circles on the diagrams (pages 6-12) to locate the exact processe(s) you are interesting in.
- to complete a process, make a copy of the corresponding checklist and tick each box as the tasks have been performed through ■ **end of process**. Do not take any shortcut!
- remember that each process starts with a color-coded header and end with ■ **end of process**.
- refer to the *Glossary* for the meaning of the words in **bold** letters.
- refer to Acronyms for the meaning of the acronyms in **bold** letter.

2. FIRST THINGS FIRST

WHAT YOU MUST DO upon joining UNDP-GEF:

- [1] request a ***UNDP email account***. This is provided by the Information Technolog (IT) person in your office. You will need it not only for email purposes but also for PIMS, Intranet and Workspace access.
- [2] request to be set up in ***PIMS (Project Information Management System)*** via an email from your supervisor to John Hough, Deputy Executive Coordinator with copy to Véronique Whalen (focal point for PIMS in New York; email: veronique.whalen@undp.org ; tel: 212-906-6053), indicating which focal area and region you handle. While all UNDP-GEF staff can read the entire portfolio in PIMS, Programme Assistants (PA) can also write, edit and lock their entries for their specific portfolios.
- [3] request to be set up on the ***UNDP-GEF Workspace*** by clicking “*Request a new account*” at the bottom of the workspace home page at <http://gef.undp.org/> . Follow-up with an email to joao.de.souza@undp.org.

WHAT YOU MUST READ upon joining UNDP-GEF:

- [4] The ***UNDP-GEF Intranet*** site: located at <http://intra.undp.org/gef> . It includes the ***UNDP-GEF Programming Manual***, which is a required reading and a prerequisite for using the Guidebook. The UNDP-GEF Intranet site will introduce you to the Global Environment Facility (GEF), its funding principles and requirements while the UNDP-GEF Programming Manual will guide you through the GEF project cycle.
- [5] The ***UNDP Programme and Operations Policies and Procedures (POPP)***: located at <http://content.undp.org/go/userguide/> . It will guide you through the UNDP project cycle and requirements. Of particular importance are the sections on the Project Document and Project Implementation.
- [6] The ***Enhanced Results Based Management System (ERBM)*** located at <http://home.undp.org> . This platform will help you monitor your portfolio.
- [7] The ***Atlas Advisory Note*** and ***Resource Kit on Authorized Spending Limit (ASL)*** available from UNDP-GEF Intranet at <http://intra.undp.org/gef/knowledgemgmt/resourcekits.htm> .
- [8] The ***PIMS Manual*** (posted on the workspace under *Operations Support, Information Management*). Although outdated, it provides adequate guidance on the use the UNDP-GEF Project Information and Management System (PIMS).

ADDITIONAL HELPFUL READING:

- [8] UNDP-GEF Internet at <http://www.undp.org/gef/>
- [9] GEF Internet at <http://www.thegef.org/gef/>
- [10] UNDP Internet at <http://undp.org>
- [11] UNDP Intranet/Teamworks at <http://intra.undp.org> particularly the *Environment & Energy* section at <http://practices.undp.org/energy-environment/>.

Don't Forget!

- If you do not understand something, ask! Questions and answers are a fundamental aspect of learning.
- Send your digital picture and bio to veronique.whalen@undp.org for inclusion into UNDP-GEF Intranet, ‘*Contacts*’ section.

C. 1 THE GEF APPROVAL CYCLE
APPROVAL CYCLE OVERVIEW: 10 ACTIVE TRACKS

	<u>Project Type</u>	<u>GEF Grant Size</u>	<u>Focal Area</u>	<u>PPG</u>	<u>Procedures</u>
1.	Full-Size (FP)*	click	All	NO or YES	Standard
2.	Medium-Size (MSP)*	click	All	NO	Expedited
3.	Medium-Size (MSP)*	click	All	YES	Standard
4.	Enabling Activities (EA) within ceiling***	click	BD; CC; POP; LD	NO	Expedited
5.	EA within ceiling***	click	BD; CC; POP; LD	YES	Standard
6.	EA above ceiling***	click	BD;CC; POP; LD	NO or YES	Standard
7.	EA: Climate Change National Communication within ceiling***	click	CC	NO or YES	Direct approval by UNDP-GEF Executive Coordinator
8.	EA: Climate Change National Communication above ceiling***	click	CC	NO or YES	Standard
9.	Programmatic Approach : Program implementation by UNDP as Program Coordination Agency (PCA) **	depending on project type	All	not applicable	Standard
10.	Project Preparation Grant (PPG)	click	All	not applicable	Standard
Information below provided for historical purposes only as NCSA window now closed					
11.	National Capacity Self Assessment (NCSA) within ceiling***		Multiple	\$25,000 maximum	Expedited
12.	NCSA above ceiling***		Multiple	NO or YES	Standard

*applies to stand-alone projects or to Program sub-projects.

** applies to Program Parent project.

*** Ceilings for Enabling Activities

Focal Area	Ceiling Amount
BD; CC; POP	\$500,000
LD	\$150,000
CC National Communication	\$500,000
NCSA	\$200,000

C. 2 THE GEF APPROVAL CYCLE
FULL-SIZE PROJECT: STANDARD APPROVAL

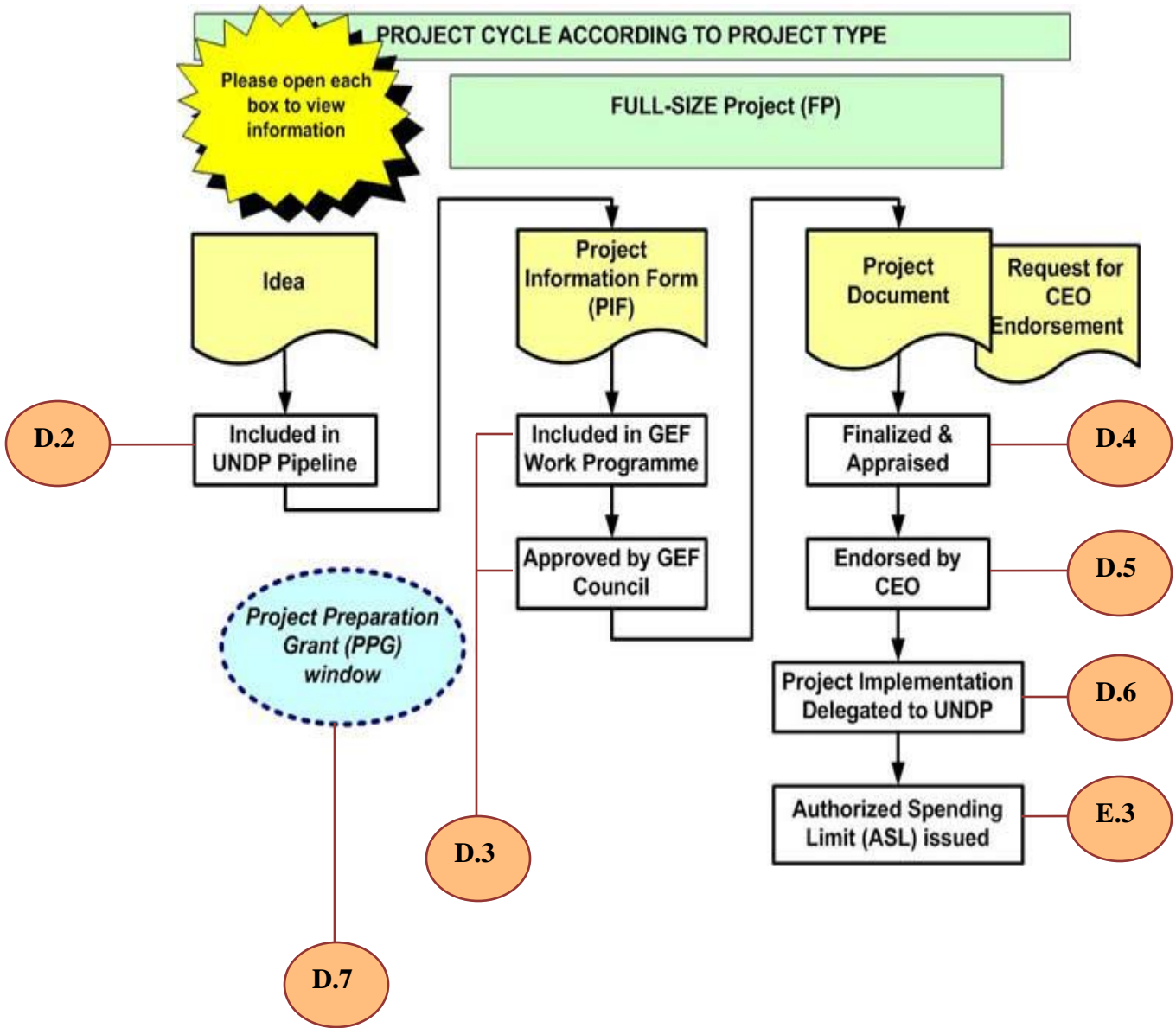


DIAGRAM NO. 2: FULL-SIZE PROJECT, STANDARD APPROVAL

C. 3 THE GEF APPROVAL CYCLE
MEDIUM-SIZE OR ENABLING ACTIVITIES PROJECT: STANDARD APPROVAL

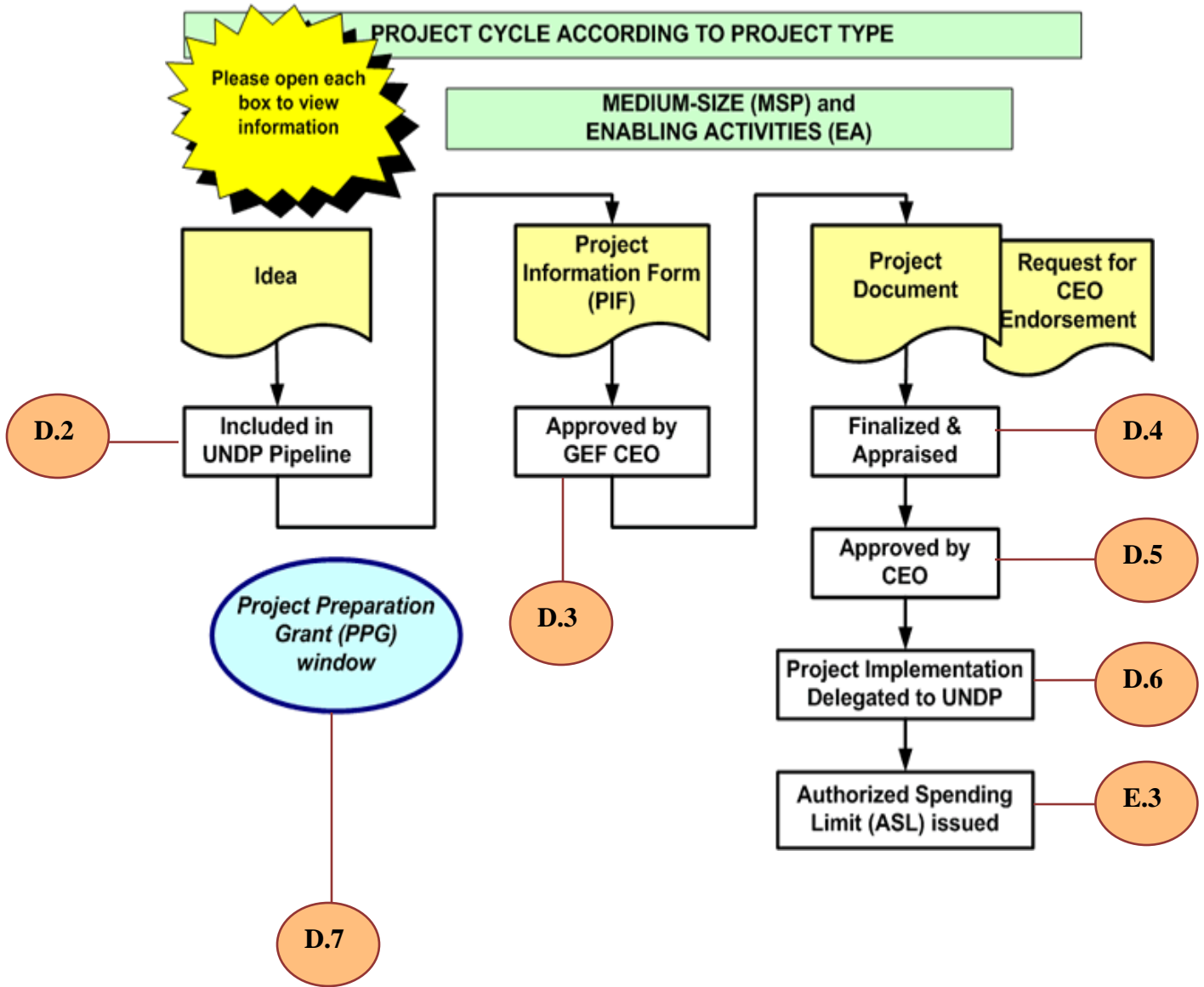


DIAGRAM NO. 3: MEDIUM-SIZE OR ENABLING ACTIVITIES PROJECT, STANDARD APPROVAL

C. 4 THE GEF APPROVAL CYCLE
MEDIUM-SIZE OR ENABLING ACTIVITIES PROJECT:
EXPEDITED APPROVAL

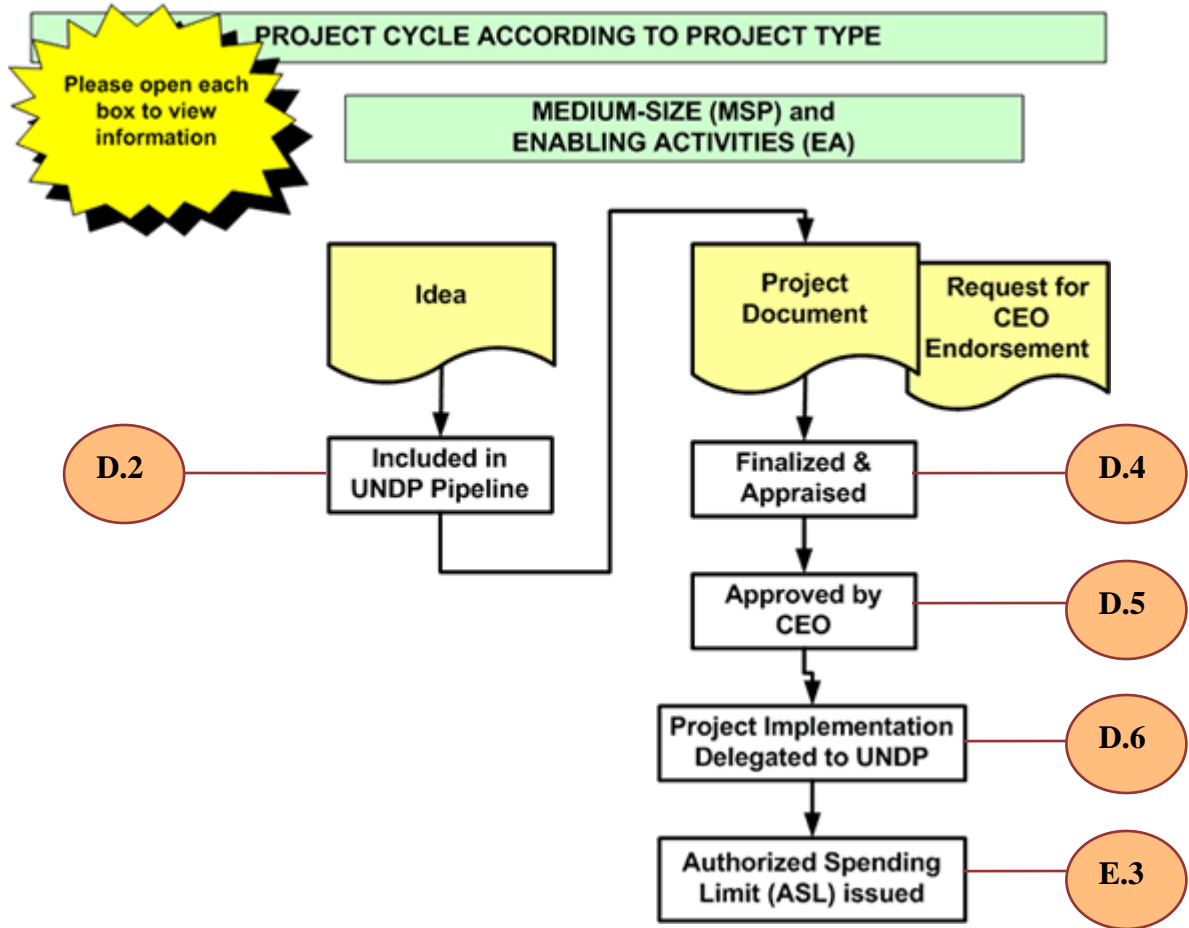
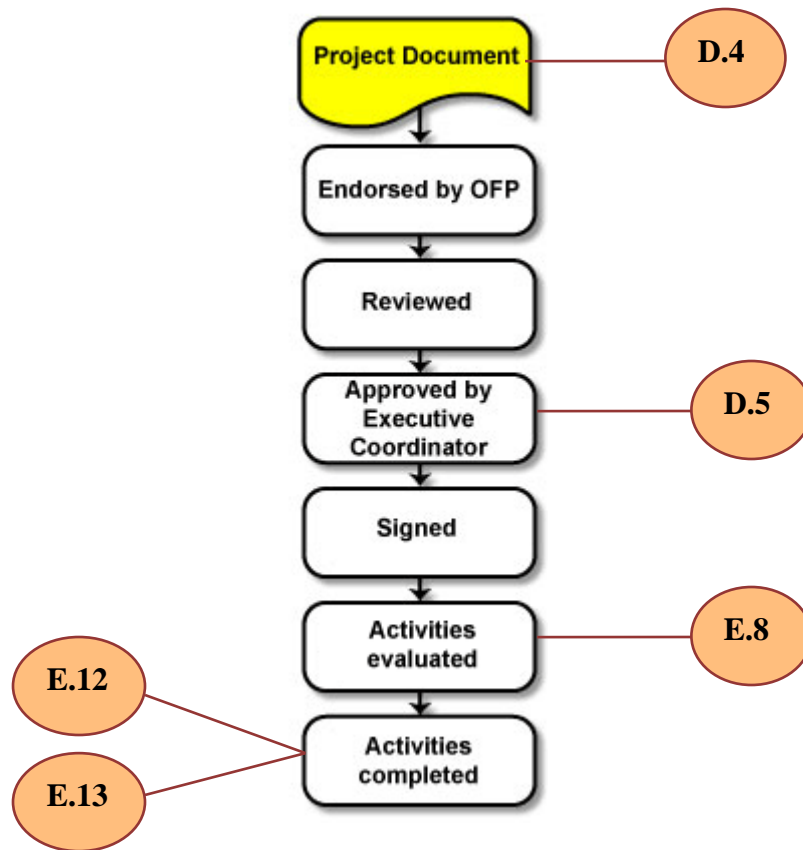


DIAGRAM NO. 4: MEDIUM-SIZE OR ENABLING ACTIVITIES PROJECT, EXPEDITED APPROVAL

C. 5 THE GEF APPROVAL CYCLE
NATIONAL COMMUNICATION:
DIRECT APPROVAL BY EXECUTIVE COORDINATOR

Enabling Activities
(Third National Communication within ceiling of \$500,000)



C. 6 THE GEF APPROVAL CYCLE
PROGRAMME: STANDARD APPROVAL

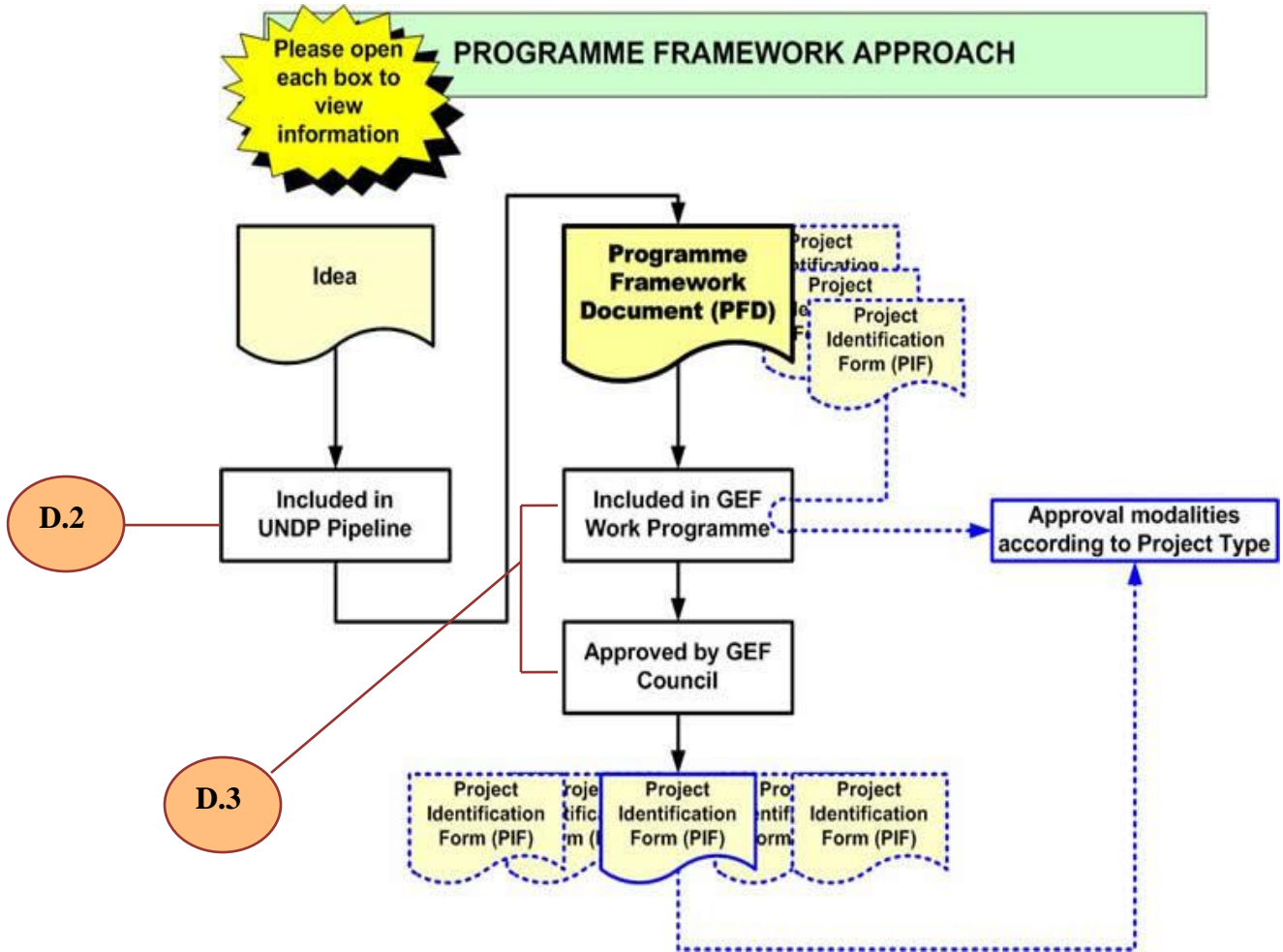


DIAGRAM NO. 6: PROGRAMME - STANDARD APPROVAL

C. 7 THE GEF APPROVAL CYCLE
PROJECT PREPARATION GRANT (PPG)

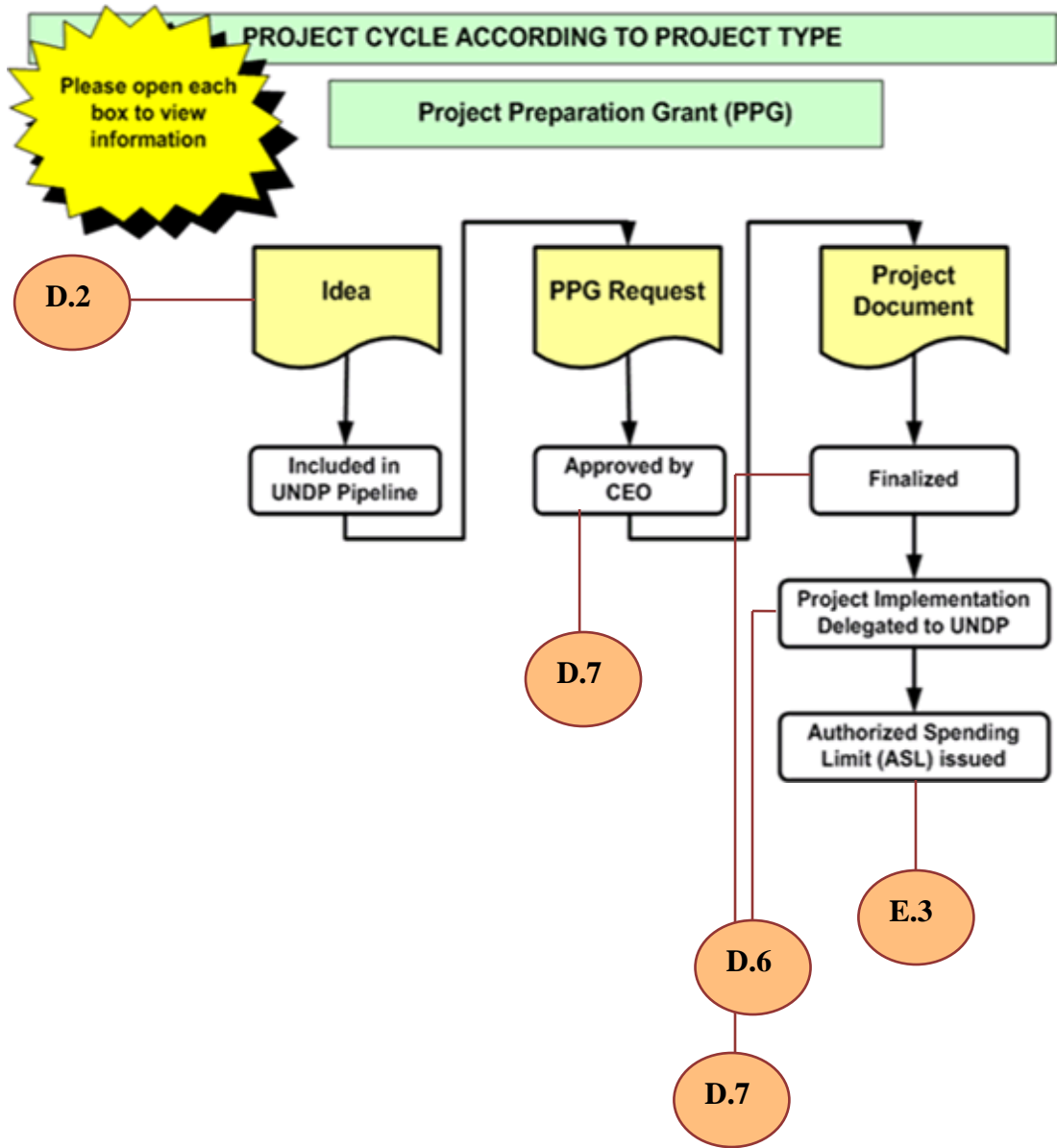


DIAGRAM NO. 7: PROJECT PREPARATION GRANT (PPG), STANDARD APPROVAL

D. 1 PROJECT DEVELOPMENT
PROCESSING A PROJECT IDEA

It all starts with an idea...

A **proponent** generates an **idea** about an **environment project** with potential **global benefits** and seeks funding from the *Global Environment Facility (GEF)* through UNDP. An initial idea can take many forms: email, telephone conversation, draft proposal etc...

ASSUMPTION

- Your team has established a system to process the incoming ideas. The model used hereby is that all the new ideas are received by the **Regional Coordination Unit (RCU)** from a UNDP country office and that you see them as soon as received.

- [1] speed-read the idea, paying attention to the proponent' name, the title of the idea, the country(ies) involved etc...
- [2] record the idea in **PIMS**, populating all the relevant date and text fields and including a few sentences in the *Description* section (at this point, you should see only the **Concept/Idea** leaf). Refer to *PIMS*, section F for guidance on PIMS terminology.
- [3] record the full title in PIMS exactly as reflected on the documentation and assign an evocative short title (for example: *Wind Energy; Kamtchatka; Soaring Birds; SABONET* etc...). Confirm short title with **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)**.
- [4] post all the documentation received in PIMS *Attachments* section, *Concept/Idea* leaf.
Notes:
 - do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
 - do not post zipped files.
- [5] separate the letters from the rest of the documentation, reading them carefully and identifying them. If you find a **request for assistance** or a **government endorsement letter** and/or a **letter of financial interest**, post it/them separately, labeling it/them clearly (for example: *letter dated 11 March 2011 from [name], GEF Operational Focal Point, requesting UNDP assistance to develop project*).

D. 1 PROJECT DEVELOPMENT

PROCESSING A PROJECT IDEA

- [6] verify that a project proposal was created in Atlas by the originating country office and that the **Atlas proposal number**, **Atlas project number** and **Business Unit** code are inserted next to the PIMS number in all correspondence.

IMPORTANT

- Do not assume the final **project type** when creating a new project in PIMS as it cannot be changed once entered (except via request to PIMS Administrator veronique.whalen@undp.org). Confirm the type with the Regional Technical Advisor (RTA).
- If you don't know the anticipated final **co-financing** amount, simply double the anticipated final GEF amount (you can correct later).
- Scan or convert into *pdf* format the emails to be posted in PIMS rather than pasting them in the Diary. It is more reliable to keep an exact picture.
- Do not discard any idea, even the ones immediately labeled as non viable. It is important to keep track of all the funding requests for reporting purposes.
- Read carefully the **pre-PIF** flowchart in “*Entry of Project Idea in UNDP-GEF Pipeline*”, **UNDP-GEF Programming Manual**. You are not expected to get deeply involved in this process but you need to know about this (rarely occurring) scenario.
- Create a system within your team to process the new ideas if none is in place and ensure that you see and record them as soon as received.

■ end of process

D. 2 PROJECT DEVELOPMENT

ENTRY OF PROJECT IDEA IN UNDP-GEF PIPELINE

GOAL

- The **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)**, the **Principal Technical Advisor (PTA)** and other as relevant (**peer reviewer** etc...) review a project **idea** and determine its potential eligibility for GEF funding according to the GEF and UNDP-GEF **Review Criteria**.

The outcome of the review can be as follows:

- *the idea is not eligible for GEF funding: it is **discontinued**.*
- the idea is similar or complementary to an existing project or idea: it is **subsumed** into the existing project or idea.
- *the idea is potentially eligible for GEF funding. However it does not fit UNDP but may fit another **GEF Implementing** or **GEF Executing Agency**: the **Proponent** is informed accordingly and encouraged to seek support from another GEF Agency.*
- *the idea is potentially eligible for GEF funding and fits UNDP: the RTA seeks clearance of the idea from the Principal Technical Advisor (PTA) for entry into the UNDP **pipeline**.*
- *further discussions are needed before a final eligibility decision is made.*

- [1] in preparation for the pipeline discussion, schedule a teleconference between the RTA/STA, the PTA and other participant(s) as relevant (**peer reviewer** etc...).
- [2] ensure that all the parties (RTA/STA, PTA etc...) have enough information on the idea to be discussed. A good practice would be to summarize the key information on a spreadsheet (PIMS no., project type, full title, grant and **co-financing** amounts, anticipated submission date to the GEF Secretariat (**GEFSEC**) etc...) and send it around in advance of the telephone discussion together with all relevant background documentation.

The next step involves a teleconference discussion between the RTA/STA, PTA and other as relevant (peer reviewer etc...). The outcome will be a final decision by the PTA regarding the project entry into the UNDP Pipeline.

- [3] if the decision is '*discontinued*', '*subsumed*' or '*transferred*', record the decision in **PIMS**, inserting a short explanation in the text box..

D. 2 PROJECT DEVELOPMENT***ENTRY OF PROJECT IDEA IN UNDP-GEF PIPELINE***

- [4] if the decision is ‘*eligible*’ for entry into the UNDP pipeline, create the relevant PIMS leaf/leaves, i.e. final type (Full, MSP, Enabling, Add On) and PDF B if you know already whether a **Project Preparation Grant (PPG)** will be necessary. Ensure that RTA/STA name, **Focal Area** and **Strategic Priority (SP)** are correctly reflected as relevant. Refer to *PIMS*, section F for guidance on terminology . **Note:** PDF B refers to the preparatory assistance modality prior to GEF-4.
- [5] post in PIMS, *Attachments* section, any additional information pertaining to the project idea.
- [6] when the new project idea is confirmed in the UNDP-GEF Pipeline, send the basic information to the interim database focal point veronique.whalen@undp.org for update . Also ensure that the **Technical Team** Programme Associate (**PA**). is aware of the addition.
- [7] keep in touch with the **proponent** giving non committal information.
- [8] be ready to respond to the proponent’s queries by keeping abreast of the important submission dates (refer to the GEF **Operations Calendar** in the weekly **GEF Program Management bulletin** on UNDP-GEF Intranet at <http://intra.undp.org/gef/submissions/index.htm> in the section “*Submissions for Funding*”).
- [9] find out who will develop the current idea into a GEF **Project Information Form (PIF)** for approval by **GEF Council** or **CEO** (see Processes no. D. 3 and D.5). Will it be the proponent at no cost or will a consultancy be needed via funding through a Project Preparation Grant PPG)? **Note:** if the latter option is selected, review Process no. D. 7.
- [10] review the list of consultants most used by your team and get acquainted with their contract types (**retainer**, **Special Service Agreement (SSA)**) and status, their area of specialty, etc... It is assumed that you have a basic knowledge of the consultants’ recruitment procedures. Consult the Administrative Officer/Assistant in your office as needed.

D. 2 PROJECT DEVELOPMENT

ENTRY OF PROJECT IDEA IN UNDP-GEF PIPELINE

The next process will seek technical clearance of the project idea by the GEFSEC Program Manager. Depending on the final **project type** and **approval modality** selected, the goal will be:

- Inclusion of a Project Information Form (PIF) in a GEF **Work Programme** (WP) and approval by the GEF Council (Full-Size projects and **Programmatic Approach** only).
- Approval of the **Project Information Form (PIF)** by the GEF CEO (Medium-Size and Enabling Activities projects).
- Approval of the **project document** by the GEF CEO (Medium-Size and Enabling Activities projects).

➤

Refer to the processes in Guidebook section C and to the *UNDP-GEF Programming Manual* at <http://intra.undp.org/gef> if you are not clear about the various project types and approval processes.

IMPORTANT

- Ensure a good communication flow with the RTA/STA as you need to be well informed at all times.
- Verify if any information has changed following the PTA review and update PIMS as relevant.
- The process is completed only when the PTA has recorded his decision in PIMS in the Concept/Idea leaf, i.e. “*First Accepted into UNDP HQ pipeline*”.
- Read carefully the **pre-PIF** flowchart in “*Entry of Project Idea in UNDP-GEF Pipeline*”, UNDP-GEF Programming Manual. You are not expected to play an active role but you need to know about this scenario.
- Consult Report no. 5 on UNDP-GEF Intranet at <http://intra.undp.org/gef> to verify that the new entries cleared by the PTA were added.

■ end of process

D. 3 PROJECT DEVELOPMENT

APPROVAL OF PROJECT INFORMATION FORM (PIF) BY COUNCIL/CEO* (*also applies to Programme Framework Document (PFD))

GOAL

- Clearance of Full-Size (FP) **Project Information Form (PIF)** or **Programme Framework Document (PFD)** by the GEF CEO for inclusion in a GEF **Work Programme**. CEO clearance is via official letter from GEF CEO to UNDP-GEF Executive Coordinator. Letter is circulated to team by UNDP-GEF Registry.
- Approval of Work Programme by **GEF Council**. Notification of Council approval is via official letter from GEF CEO to all GEF agencies. Letter is circulated to team by UNDP-GEF Registry and is also posted on the GEF website at <http://www.thegef.org/gef> .
- Approval of Medium-Size (MSP) or Enabling Activities (EA) PIF by GEF CEO.

ASSUMPTIONS

- The project **idea** was approved in the UNDP-GEF **pipeline**
- You have provided guidance to the author of the PIF/PFD on the GEF project cycle, template completion, required documentation and deadlines.
- The PIF/PFD has been finalized according to the correct GEF template and **PIF Preparation Guidelines** (available from the **UNDP-GEF Programming Manual**, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm>).

- [1] download and print a blank *PIF/PFD* template as well as the *PIF GEF Preparation Guidelines* from UNDP-GEF Intranet, Programming Manual, Templates at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [2] print the *PIF/PFD* to be reviewed as, unlike an electronic document, a paper version will reveal all the formatting errors.
- [3] verify each section and sub-section of the *PIF/PFD* you are reviewing against the blank *PIF/PFD* template you just printed and the GEF *PIF Preparation Guidelines* starting with the final **project type** on top of the cover page, ensuring proper wording and paragraph sequence.
- [4] verify that the detailed figures add-up to the totals in all the sections (even if the totals are automated; glitches do occur!).
- [5] verify that the numbers are in dollars (*for example: US\$1,234,567*) not in thousands nor in millions and that they are not rounded.

D. 3 PROJECT DEVELOPMENT

APPROVAL OF PROJECT INFORMATION FORM (PIF) BY COUNCIL/CEO* (*also applies to Programme Framework Document (PFD))

- [6] in case of **Programmatic Approach**, verify name and **PIMS** number of **parent project** on PFD.
- [7] verify that the paper size is ‘*letter*’ (8.5 x11). A4 format is not acceptable!
- [8] in case *PIF/PFD* exceeds 8 pages, bring the GEF length requirements to the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)**’s attention asking him/her to adjust downward.
- [9] ensure that the paragraph numbering is consistent between headers, sub-headers etc... and that the sequence is correct. **Note:** although automatic numbering is not possible in the GEF templates, it is recommended to insert paragraph numbering manually to facilitate the reviews.
- [10] ensure that the tables fit the paper width and are on one single page if possible.
- [11] if you have changed the font, font size, paper size or other format elements, verify again [9] and [10].
- [12] although the GEF templates do not allow to run a spell and grammar check, it is important that you review the *PIF/PFD* carefully and correct all spelling and grammar errors.
- [13] ensure that the electronic signature of the Agency Coordinator in *Section B GEF Agency Certification* is valid. Also ensure that the date is current.
- [14] in case the office is covered by an officer-in-charge at the time of signature, insert the officer-in-charge’s full name and electronic signature.
- [15] ensure that the **Technical Team** acronym is inserted next to the name of the Project Contact Person in Section B “*GEF Agency Certification*”.
- [16] ensure that the **Atlas proposal number**, **Atlas project number** and **Business Unit** code are inserted next to the **PIMS** number.
- [17] ensure that all the acronyms are preceded by the full name upon first use (for example, *Conservation International, CI*). Subsequent references can be made with acronym only.
- [18] review the **endorsement letter(s)** from the **GEF Operational Focal Point(s)**, ensuring conformity with the latest GEF template.

D. 3 PROJECT DEVELOPMENT

APPROVAL OF PROJECT INFORMATION FORM (PIF) BY COUNCIL/CEO* (*also applies to Programme Framework Document (PFD))

- [19] ensure that the names of the files posted in PIMS are concise and easy to understand. For example ‘*final PIF*’ is vague whereas ‘*1234_Andaman_PIF_12Oct07*’ is informative.
Note: do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
- [20] update PIMS as follows:
- “*Expected date of entry into GEF pipeline*” in the *Concept/Idea* leaf;
 - “*Expected to be approved by Council*” in the *FULL* leaf;
 - Complete the GEF Grant and co-financing information in the financial section;
 - Adjust the “*Description*” boxes as relevant.
- [21] when processing a revised version, ensure that the new information (full title, GEF amount, co-financing etc...) is duly reflected in PIMS.
- [22] complete the *Project Contact Person* information in *PIF/PFD* and leave the box “*GEF Agency Coordinator*” blank; it will be completed by the Technical Team Programme Associate (**PA**) prior to submission to the GEF Secretariat (**GEFSEC**) via **UNDP-GEF Registry**.
- [23] post the *PIF/PFD* and **endorsement letter** from **GEF Operational Focal Point, OFP** in PIMS in the *Concept/Idea* leaf, labeling each document to be submitted ‘*SUBMISSION [date]: description of document....*’.
- [24] when posting the documentation in PIMS, try not to exceed 2 files (1 *PIF/PFD* and (2) *OFP* letter(s)).
- [25] ensure that the size of each file posted in PIMS does not exceed 10000KB (10MB). Break-down in two or more individual parts the files larger than 10000KB (10MB), labeling each file “[*name*] Part 1/2”, “[*name*] Part 2/2” etc... Do not post zipped files in PIMS!
- [26] inform the RTA/STA of the substantive corrections you have made on the *PIF/PFD* final version and obtain his/her concurrence before requesting the **Principal Technical Advisor (PTA)** and other as relevant (**peer reviewer** etc...) to clear in PIMS.
- [27] notify the PTA/STA with copy to the Technical Team PA and other as relevant (**peer reviewer** etc...) that the documentation is posted in PIMS for clearance and further processing.

D. 3 PROJECT DEVELOPMENT

APPROVAL OF PROJECT INFORMATION FORM (PIF) BY COUNCIL/CEO* (*also applies to Programme Framework Document (PFD))

OUTCOME OF INTERNAL TECHNICAL REVIEW

- *The technical quality of the documentation meets all the requirements:* it is cleared by the PTA in PIMS for submission to the next Work Programme.
- *The technical quality is poor:* the submission is postponed or cancelled.
- *Clarification and corrections are needed:* discussions take place between the RTA/STA, the PTA and other as relevant (peer reviewer etc...) until the documentation is cleared by the PTA in PIMS for submission to the GEF Secretariat (**GEFSEC**.)

OUTCOME OF INTERNAL NON TECHNICAL REVIEW

- *The non technical quality of the documentation meets all the requirements:* the PIF/PFD is processed further.
- *The non technical quality needs improvement:* it is returned to the **Regional Coordinator Unit (RCU)** Programme Associate (PA) for correction.

IMPORTANT

- Keep track of the PIF/PFD until it is formally submitted to GEFSEC by **UNDP-GEF Registry**.
- Be aware of the timing of the work programmes reflected in the weekly **GEF Programme Management** bulletin on *UNDP-GEF Intranet, Submissions for Funding* at <http://intra.undp.org/gef/submissions/index.htm> .
- Read the GEFSEC **Review Sheet(s)**, verifying that the basic information is correct (PIMS number, IA, title, OP, SP etc...). Alert the Technical Team PA if corrections are needed, asking her/him to liaise with GEFSEC counterpart for corrections. Pay particular attention to the *Recommendation* section as it will inform you whether or not the PIF/PFD was recommended for CEO clearance/approval and which action is needed next (revision etc...).
- The process is completed only when the final decisions, i.e. CEO clearance/approval/rejection letter and GEF Council decision and **Council comments** as relevant have been posted in PIMS by the Technical Team PA.
- Inform the **proponent** and the relevant contributors of the approval progress, giving non committal information and ensuring that they receive a copy of the approved PIF/PFD.

■ end of process

D. 4 PROJECT DEVELOPMENT
PROJECT DOCUMENT FINALIZATION

This process must be completed in conjunction with Processes no. **D.5**, **D.6** and **D.7** as relevant.

GOAL

- Finalization of a UNDP **project document** for clearance by the **Principal Technical Advisor (PTA)** and Finance Officer prior to submission to the GEF Secretariat (**GEFSEC**) for **CEO endorsement/approval**.
- Finalization of a **Project Preparation Grant (PPG) Inception Plan (IP)** or a **Self-Assessment IP** or a **National Communication (NC)** project document for clearance by the Principal Technical Advisor (PTA) and Finance Officer prior to signature of a **Delegation of Authority (DOA)** letter by the Executive Coordinator.

ASSUMPTIONS

- You have provided guidance to the author of the project document/**IP** on the GEF and UNDP project cycles, templates, required documentation and deadlines.
- The project document/IP has been finalized according to the correct template and guidelines in the UNDP-GEF Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- As relevant, the **PIF** was approved by **GEF Council/CEO** in accordance with the GEF **approval modalities**.

- [1] download and print a blank project document/IP template from UNDP-GEF Intranet, Programming Manual section, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [2] print the project document/IP to be reviewed as, unlike an electronic document, a paper version will reveal all the formatting errors.
- [3] verify that the project document/IP conforms to the template and requirements on UNDP-GEF Intranet, Programming Manual as well as the **UNDP Programme and Operations Policies and Procedures (POPP)**.
- [4] as relevant, ensure that the **Minutes** of the **Local Project Appraisal Committee (LPAC)** meeting are posted in **PIMS**.
- [5] as relevant, ensure that the recommendations of the LPAC meeting are reflected in the project document.
- [6] scrutinize the **Total Budget and Workplan** ensuring that it conforms with the *Advisory Note on Atlas* (see UNDP-GEF Programming Manual at <http://intra.undp.org/gef/knowledgemgmt/resourcekits.htm> or Workspace, Operations Support, Finance section at <http://gef.undp.org/index.pl/finance>) and that the budget is transparent and within the project financial envelope.

D. 4 PROJECT DEVELOPMENT PROJECT DOCUMENT FINALIZATION

- [7] ensure that the **Atlas proposal number**, **Atlas project number** and **Atlas Business Unit** code and financial information are correctly reflected on the signature page of the project document/IP.
- [8] enter the UNDP project Atlas proposal number in PIMS, Section “*Financial Information as Shown in the UNDP Project Document*”. In case of UNOPS One Project Approach, also enter the UNOPS project proposal number as a second entry in the same PIMS Section.
- [9] verify that the numbers are in dollars (*for example: US\$1,234,567*) not in thousands nor in millions and that they are not rounded.
- [10] verify all the calculations manually and ensure that the numbers add up correctly.
- [11] in case of a **Programmatic Approach sub-project**, ensure that name and PIMS number of the **Programme** project are reflected on the cover page.
- [12] verify that the financial and **co-financing** information in the text is consistent with the information on the signature page. Also ensure that the co-financing amounts are broken down in “**in-kind**” and “**cash**”.
- [13] critically review the project implementation arrangements, ensuring consistency with the corporate guidelines, proper terminology etc... and adherence to the prevailing execution fee amounts in the case of **UNOPS** or **NGO** execution.
- [14] verify that the paper size is ‘*letter*’ (8.5 x11). A4 format is not acceptable!
- [15] ensure that the document and the annexes are properly paginated and that there are no blank pages. Page number should be ‘*bottom, center, arabic number*’.
- [16] ensure that the paragraph numbering is consistent between headers, sub-headers etc... and that the sequence is correct.
- [17] ensure that the tables fit the paper width and are on one single page if possible.
- [18] run a spell-check on all the documentation (including the annexes).
- [19] if you have changed the font, font size, paper size or other format elements, verify again bullets [15] through [17].

D. 4 PROJECT DEVELOPMENT PROJECT DOCUMENT FINALIZATION

- [20] ensure that the files names are concise and easy to understand. For example ‘*prodoc*’ is unclear whereas ‘*321_Kamtchaka_prodoc_12Oct04*’ is clear.
- [21] inform the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** of the substantive corrections you have made and obtain his/her concurrence before requesting the **Technical Team** and the Finance Officer to clear the project document/IP in PIMS.
- [22] update PIMS with the financial and co-financing information and adjust the “*Description*” boxes as relevant. **Note:** do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
- [23] ensure that all the acronyms are listed in the list of Acronyms or preceded by the full name upon first use (for example, *Conservation International, CI*). Subsequent references can be made with acronym only.
- [24] when processing a revised version, ensure that the changes are **color-coded** to facilitate the reviews.
- [25] when processing a revised version, ensure that the new information (full title, GEF amount, co-financing etc...) is duly reflected in PIMS.
- [26] post the project document/IP in PIMS, labeling it clearly, e.g. ‘*PRODOC FOR [action needed]: description of document*’.
- [27] ensure that the size of the file posted in PIMS does not exceed 10000KB (10MB). Break-down in two or more individual parts the files larger than 10000KB (10MB), labeling each file “[*name*] Part 1/2”, “[*name*] Part 2/2” etc... **Do not post zipped files in PIMS!**
- [28] notify the PTA with copy to the RTA/STA, the Technical Team Programme Associate (**PA**), **POS** and other as relevant, **peer reviewer** etc...) that the documentation has been posted in PIMS for clearance and further processing.
- [29] complete the following process(es) as relevant, i.e.:
- “*Endorsement/Approval of project document by GEF CEO*”, Process no. D.5.
 - “*Approval of National Communication by Executive Coordinator*”, Process no. D.6.
 - “*Delegation of Authority Letter (DOA)*”, Process no. D.7.

D. 4 PROJECT DEVELOPMENT PROJECT DOCUMENT FINALIZATION

OUTCOME OF PTA REVIEW

- *The technical quality of the documentation meets all the requirements:* it is cleared by the PTA.
- *Clarification and corrections are needed:* discussions take place between the RTA/STA, PTA and other as relevant (peer reviewer etc...) until the documentation is cleared by the PTA in PIMS.

OUTCOME OF TECHNICAL TEAM PA REVIEW

- *The non technical quality of the documentation meets all the requirements:* it is cleared by the Technical Team PA for further processing.
- *The non technical quality needs improvement:* it is returned to the **Regional Coordinator Unit (RCU)** PA for correction.

OUTCOME OF POS REVIEW

- *The financial and budget information meet all the requirements:* the Finance Officer clears the project document/IP in PIMS.
- *The financial and budget information do not meet the requirements:* the Finance Officer returns the project document/IP to the Regional Coordination Unit (RCU) as relevant for correction.

IMPORTANT

- Final project document/IP and DOA letter go hand in hand (see DOA Process no. D.7). Both must be finalized and the documents posted in PIMS at the same time.
- Keep track of the project document/IP and of the relevant other processes e.g. CEO Endorsement/Approval, until the DOA letter has been signed.
- The process is fully completed only when the DOA has been completed and the signature date of the DOA letter has been recorded in PIMS by UNDP-GEF Directorate.
- Inform the **proponent** and relevant contributors of the approval progress, giving non committal information and ensuring that they receive a copy of the final project document/IP.

■ end of process

D. 5 PROJECT DEVELOPMENT
ENDORSEMENT/APPROVAL OF PROJECT DOCUMENT BY GEF CEO

This process must be completed in conjunction with Processes no. D.4 and D.7.

GOAL

- Endorsement by GEF CEO of Full-Size (FP) project document.
- Expedited approval by GEF CEO of Medium-size (MSP) or Enabling Activities (EA) project document.

ASSUMPTIONS

- As relevant, the PIF was approved by GEF Council/CEO in accordance with the GEF approval modalities.
- You have provided guidance to the author of the project document and Request for CEO Endorsement/Approval on the UNDP and GEF project cycles, template completion, required documentation and deadlines.
- You have reviewed the project document per Process no. D.4.
- The Request for CEO Endorsement/Approval has been finalized according to the correct template per CEO Endorsement Request Preparation Guidelines (available from the UNDP-GEF Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm>).

- [1] review the letter(s) of **financial commitment**, verifying that the commitment amount is clearly and positively stated and that the amounts are broken down in “**in-kind**” and “**cash**” and they are consistent with the amounts in the project document and *Request for CEO Endorsement/Approval*. Consult the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** if concerns arise. **Note:** refer to *UNDP-GEF Programming Manual, CEO Endorsement/Approval* process for timing of submission (http://intra.undp.org/gef/programmingmanual/ceo_doa.htm).
- [2] as relevant, review the **endorsement letter(s)** from the **GEF Operational Focal Point(s) (OFP)**.
- [3] as relevant, review the **tracking tools**, ensuring they are complete.

D. 5 PROJECT DEVELOPMENT ENDORSEMENT/APPROVAL OF PROJECT DOCUMENT BY GEF CEO

REMEMBER: the following annexes are needed:

- in case of endorsement of FP per standard **approval modality** for MSP and EA:
 - Letter(s) of financial commitment.
 - Tracking tools as relevant.
- in case of expedited approval modality for MSP or EA:
 - OFP Endorsement letter(s).
 - Letter(s) of financial commitment.
 - Tracking tools as relevant.

All letters written in a language other than English must be accompanied by an English translation!!!

- [4] download and print a blank *Request for CEO Endorsement/Approval* template and the GEF *Request for CEO Endorsement/Approval Preparation Guidelines* from UNDP-GEF Intranet, Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [5] print the *Request for CEO Endorsement/Approval* to be reviewed as, unlike an electronic document, a paper version will reveal all the formatting errors.
- [6] verify each section and sub-section of the *Request for CEO Endorsement/Approval* you are reviewing against the blank one you just printed and the GEF *Request for CEO Endorsement/Approval Preparation Guidelines*, starting with the final **project type** on top of the cover page, ensuring proper wording and paragraph sequence.
- [7] verify that the detailed figures add-up to the totals in all the sections (even if the totals are automated; glitches do occur!).
- [8] verify that the numbers are in dollars (*for example: US\$1,234,567*) not in thousands nor in millions and that they are not rounded.
- [9] in case of sub-project of a **Programmatic Approach**, verify name and PIMS number of **parent project**.
- [10] verify that the paper size is 'letter' (8.5 x11). A4 format is not acceptable!

D. 5 PROJECT DEVELOPMENT
ENDORSEMENT/APPROVAL OF PROJECT DOCUMENT BY GEF CEO

- [11] ensure that the paragraph numbering is consistent between headers, sub-headers etc... and that the sequence is correct. **Note:** although automatic numbering is not possible in the GEF templates, it is recommended to insert paragraph numbering manually to facilitate the reviews.
- [12] ensure that the tables fit the paper width and are on one single page if possible.
- [13] if you have changed the font, font size, paper size or other format elements, verify again [11] and [12].
- [14] although the GEF templates do not allow to run a spell and grammar check, it is important that you review all the documentation carefully and correct all spelling and grammar errors.
- [15] ensure that the electronic signature of the Agency Coordinator in *Section B GEF Agency Certification* is valid. Also ensure that the date is current.
- [16] in case the office is covered by an officer-in-charge at the time of signature, insert the officer-in-charge's full name and electronic signature.
- [17] ensure that the **Technical Team** acronym is inserted next to the name of the Project Contact Person in Section B "*GEF Agency Certification*".
- [18] ensure that the **Atlas proposal number, Atlas project number, Atlas Award number** and **Atlas Business Unit** code are inserted next to the **PIMS** number.
- [19] ensure that all the acronyms are preceded by the full names (for example, *Conservation International, CI*). Subsequent references can be made with acronym only.
- [20] ensure that the names of the files posted in PIMS are concise and easy to understand. For example '*final PIF*' is vague whereas '*1234_Andaman_project_document_12Oct07*' is informative.
Note: do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
- [21] when processing a revised version, ensure that the new information (full title, GEF amount, co-financing etc...) is duly reflected in PIMS.

D. 5 PROJECT DEVELOPMENT
ENDORSEMENT/APPROVAL OF PROJECT DOCUMENT BY GEF CEO

- [22] complete the *Project Contact Person information* and leave the box “*GEF Agency Coordinator*” blank; it will be completed by the Technical Team Programme Associate (PA) prior to submission to the GEF Secretariat (GEFSEC) via **UNDP-GEF Registry**.
- [23] post each document, including all the official letters, in PIMS relevant leaf, labeling each piece very clearly.
- [24] ensure that the size of each file posted in PIMS does not exceed 10000KB (10MB). Break-down in two or more individual parts the files larger than 10000KB (10MB), labeling each file “[name] Part 1/2”, “[name] Part 2/2” etc... Do not post zipped files in PIMS!
- [25] inform the Regional Technical Advisor (RTA)/Senior Technical Advisor (STA) of the substantive corrections you have made on the final version of the documentation and obtain his/her concurrence before requesting the **Principal Technical Advisor (PTA)**, the Finance Officer and other as relevant (**peer reviewer** etc...) to clear in PIMS.
- [26] notify the PTA with copy to the Technical Team PA, and other as relevant (peer reviewer etc...) that the documentation is posted in PIMS for clearance and further processing.
- [27] complete Process no. 7 “Delegation of Authority (DOA) letter”.

IMPORTANT

- As relevant, keep track of the documentation until it is formally submitted to GEFSEC by **UNDP-GEF Registry**.
- Read the GEFSEC comments (email or other) and **Review Sheet(s)**, verifying that the basic information is correct (PIMS number, IA, title, etc...). Alert the Technical Team PA if corrections are needed, asking her/him to liaise with GEFSEC counterpart for corrections. Pay particular attention to the *Recommendation* section as it will inform you about the final decision and future actions needed
- As relevant, the process is completed only when the CEO endorsement/approval letter has been posted in PIMS by the Technical Team PA.
- Inform the **proponent** and the relevant contributors of the approval progress, giving non committal information and ensuring that they receive a copy of the final documentation as relevant.

■ end of process

D. 6 PROJECT DEVELOPMENT
APPROVAL OF NATIONAL COMMUNICATION (NC) BY EXECUTIVE COORDINATOR

This process must be completed in conjunction with Processes no. D.4 and D.7.

GOAL

- Approval by Executive Coordinator of a **National Communication (NC) Self-Assessment Inception Plan (IP)** via signature of a **Delegation of Authority (DOA)** letter .
- Approval by Executive Coordinator of a NC **project document** via signature of a DOA letter.

ASSUMPTIONS

- You have reviewed the IP/project document per Process no. D.4.

- 1] in case of Self-Assessment IP, review the **endorsement letter(s)** from the **GEF Operational Focal Point(s) (OFP)** ensuring conformity with the project.
- [2] in case of NC project document, review the endorsement letter(s) from the **Government United Nations Framework for Climate Change Convention (UNFCCC) Focal Point** ensuring conformity with project.

REMEMBER: the following annexes are needed for a National Communication:

- OFP Endorsement for Self-Assessment.
- UNFCCC Endorsement for NC EA.

All letters written in a language other than English must be accompanied by an English translation!!!

- [3] complete Process no. D.7 “Delegation of Authority (DOA) letter’ as signature of DOA letter by Executive Coordinator constitutes approval of IP/project document.

■ end of process

D. 7 PROJECT DEVELOPMENT
DELEGATION OF AUTHORITY (DOA) LETTER

GOAL

- Signature by the Executive Coordinator of a **Delegation of Authority (DOA)** Letter addressed to a **UNDP Resident Representative (RR)** or **Principal project representative (PPR)** and/or Head of an **Executing Agency**, attaching a **project document/Inception Plan (IP)** and formally transferring the execution of the project to UNDP.
- Signature by the Executive Coordinator of the accompanying letter(s) to the other partners according to the project execution modalities.

This process must be completed in conjunction with Process D.4, D.5 and D.6 as relevant.

ASSUMPTIONS

- The final project document/IP has been finalized according to the guidelines reflected in the UNDP-GEF Programming Manual and is posted in PIMS for technical and financial clearance.
- You are familiar with the **Country Office Information (CFO)** on UNDP Intranet so as to verify the names of the RR or PPR.
- You are comfortable navigating Internet and research information to verify the names of the heads of other executing agencies or organizations.

- [1] Complete the DOA and accompanying letter(s) as relevant using the template(s) in the UNDP-GEF Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [2] ensure the accuracy of all the names, titles and addresses, using the UNDP Country Office Information (CFO) on UNDP Intranet or by consulting the other agencies websites.
- [3] ensure that all the blank boxes are correctly completed.
- [4] ensure that the subject matter follows the template requirements.
- [5] ensure that the copy list at the bottom of the letter is accurate and complete. **Note:** use your judgment and adjust the copy list as relevant, adapting it to the project circumstances.
- [6] ensure that the font and font size are consistent within the same page and for all the letters and that the letter is properly paginated.

D.7 PROJECT DEVELOPMENT
DELEGATION OF AUTHORITY (DOA) LETTER

- [7] ensure that the **Atlas proposal number, Atlas project number, Atlas Award number** and **Atlas Business Unit** code are reflected in the subject matter.
- [8] post the DOA letter(s) in **PIMS** labeling it(them) clearly. For example “*FOR SIGNATURE: DOA etc...*”. **Note:** do not use symbols or accents in the file names as PIMS cannot read them and thus cannot open the files.
- [9] update PIMS with the “*Expected date of Delegation of Authority*” and other information as relevant.
- [10] notify the **Technical Team** Programme Associate (**PA**) and Finance Officer in **POS** that the documentation has been posted in PIMS for clearance and further processing, copying the **Regional Technical Advisor (RTA)/ Senior Technical Advisor (STA)**.
- [11] Once you have been notified by the Technical Team PA that the signed DOA letter(s) has/(have) been posted in PIMS, dispatch the project document and DOA letter(s) promptly. **Tip:** you may want to use the ‘*return receipt*’ option so as to be sure that your email transmitting the DOA letter has been delivered. Keep your return receipt confirmations until you are sure that the project document has been received!

IMPORTANT

- *Project document finalization, Request for CEO Endorsement/approval or Approval of National Communication* as relevant and *DOA letter* go hand in hand (see Processes D.4, D.5 and D.7)! They must be finalized at the same time and PIMS must be updated accordingly.

■ end of process

D. 8 PROJECT DEVELOPMENT

APPROVAL OF PROJECT PREPARATION GRANT (PPG) REQUEST

GOAL

- Approval by GEF CEO of a **Project Preparation Grant (PPG)** via official memorandum from GEF CEO to UNDP-GEF Executive Coordinator.

ASSUMPTIONS

- The **Project Information Form (PIF)** for the final type project was cleared/approved by the GEF CEO.
- You have provided guidance to the author of the **PPG Request** on the GEF and UNDP project cycles, template completion, required documentation and deadlines.
- The PPG Request has been finalized according to the correct template and the **PPG Request Preparation Guidelines** (available from the **UNDP-GEF Programming Manual**, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm>).

This process is to be completed in conjunction with Process D.7.

- [1] download and print a blank *PPG Request* template and the GEF *PPG Preparation Guidelines* from UNDP-GEF Intranet, Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [2] print the *PPG Request* to be reviewed as, unlike an electronic document, a paper version will reveal all the formatting errors.
- [3] verify each section and sub-section of the *PPG Request* you are reviewing against the blank PPG Request template you just printed and the GEF *PPG Preparation Guidelines* starting with the final **project type** on top of the cover page, ensuring proper wording and paragraph sequence.
- [4] verify that a project proposal was created in **Atlas** by the originating country office and that include the **Atlas number** and **Business Unit** code are inserted next to the **PIMS** number in all correspondence.
- [5] verify that the detailed figures add-up to the totals in the relevant sections (even if the totals are automated; glitches do occur!).
- [6] verify that the numbers are in dollars (*for example: US\$1,234,567*) not in thousands nor in millions and that they are not rounded.
- [7] in case of a **Programmatic Approach**, verify name and PIMS number of **parent project**.

D. 8 PROJECT DEVELOPMENT

APPROVAL OF PROJECT PREPARATION GRANT (PPG) REQUEST

- [8] verify that the paper size is ‘letter’ (8.5 x11). A4 format is not acceptable!
- [9] ensure that the paragraph numbering is consistent between headers, sub-headers etc... and that the sequence is correct. Note: although automatic numbering is not possible in the GEF templates, it is recommended to insert paragraph numbering manually to facilitate the reviews.
- [10] ensure that the tables fit the paper width and are on one single page if possible.
- [11] if you have changed the font, font size, paper size or other format elements, verify again [9] and [10].
- [12] although the GEF templates do not allow to run a spell and grammar check, it is important that you review the *PPG Request* carefully and correct all spelling and grammar errors.
- [13] ensure that the electronic signature of the Agency Coordinator in *Section F GEF Agency Certification* is valid. Also ensure that the date is current.
- [14] in case the office is covered by an officer-in-charge at the time of signature, insert the officer-in-charge’s full name and electronic signature.
- [15] ensure that the **Technical Team** acronym is inserted next to the name of the Project Contact Person in *Section F GEF Agency Certification*.
- [16] ensure that all the acronyms are preceded by the full names (for example, *Conservation International, CI*). Subsequent references can be made with acronym only.
- [17] ensure that the names of the files posted in PIMS are concise and easy to understand. For example ‘*final PIF*’ is vague whereas ‘*1234_Andaman_PIF_12Oct07*’ is informative.
Note: do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
- [18] update PIMS as relevant per *PIMS, section F* for guidance on terminology.
- [19] when processing a revised version, ensure that the new information (full title, GEF amount, co-financing etc...) is duly reflected in PIMS.

D. 8 PROJECT DEVELOPMENT

APPROVAL OF PROJECT PREPARATION GRANT (PPG) REQUEST

- [20] leave the signature box blank. It will be completed by the Technical Team Programme Associate (PA) prior to submission to GEFSEC via **UNDP-GEF Registry**.
- [21] when posting the *PPG Request* in PIMS, try not to exceed 1 file.
- [22] inform the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** of the substantive corrections you have made on the final version of the *PPG Request* and obtain his/her concurrence before requesting the **Principal Technical Advisor (PTA)** and other as relevant (**peer reviewer** etc...) to clear.
- [23] notify the PTA with copy to the Technical Team PA, and other as relevant (**peer reviewer** etc...) that the documentation is posted in PIMS for clearance and further processing.

D. 8 PROJECT DEVELOPMENT

APPROVAL OF PROJECT PREPARATION GRANT (PPG) REQUEST

OUTCOME OF TECHNICAL REVIEW

- *The technical quality of the documentation meets all the requirements:* it is cleared by the PTA.
- *The technical quality is poor:* the submission is postponed or cancelled.
- *Clarification and corrections are needed:* discussions take place between the RTA/STA, the PTA and other as relevant (peer reviewer etc...) until the documentation is cleared by the PTA in PIMS.

OUTCOME OF NON TECHNICAL REVIEW

- *The non technical quality of the documentation meets all the requirements:* the PPG Request is processed further.
- *The non technical quality needs improvement:* it is returned to the **Regional Coordinator Unit (RCU)** PA for correction.

IMPORTANT

- Keep track of the *PPG Request* until it is formally submitted to the GEF Secretariat (GEFSEC) by **UNDP-GEF Registry**.
- Be aware of the GEF milestones and deadlines reflected in the weekly **GEF Program Management** bulletin on UNDP-GEF Intranet, Submissions for Funding section at <http://intra.undp.org/gef/submissions/index.htm> .
- Read the GEFSEC **Review Sheet(s)**, verifying that the basic information is correct (PIMS number, IA, title, OP, SP etc...). Alert the Technical Team PA if corrections are needed, asking her/him to liaise with GEFSEC counterpart for corrections. Pay particular attention to the *Recommendation* section as it will inform you about the final decision and future actions needed.
- The process is completed only when the final CEO decision has been posted in PIMS by the Technical Team PA.
- Inform the **proponent** and the relevant contributors of the approval progress, giving non committal information and ensuring that they receive a copy of the approved *PPG Request*.

■ end of process

E. 1. PROJECT IMPLEMENTATION

LAUNCH - PROJECT DOCUMENT/INCEPTION PLAN (IP) SIGNATURE

GOAL

- Signature of the **project document/IP** by the relevant parties.

ASSUMPTIONS

You know the names of the **country office environment focal points** and programme assistants in your region and have developed a good work relationship with them through email, telephone or personal interactions.

- [1] as relevant, verify if the project activities include an **inception workshop** as, generally, the project document is signed during the inception workshop.
- [2] as relevant, in case of inception workshop and/or signature ceremony, liaise with the originating country office environment focal point and the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** regarding date, attendance and other logistics.
- [3] as relevant, if there is no inception workshop, liaise closely with the originating environment focal point, keeping abreast of the progress of the project document signature by all the parties involved.
- [4] once the project document/IP signatures are available:
 - post a copy of the signed cover page(s) in **PIMS**
 - update the PIMS milestones: “*Full Prodoc Signed*”, “*Expected Date of mid-term evaluation*”, “*Expected Date of final evaluation*” and “*Expected date of operational closure*”. **Note:** for PIMS and record purposes, the project document/IP signature date is the date of the last signature.
 - inform the **Technical Team** Programme Associate (**PA**) and **POS** (Rattana Mao at rattana.mao@undp.org).
 - ensure that the **Atlas Award** number and **Annual Work Plan (AWP)** are generated in Atlas by the originating country office (refer to the *Atlas Advisory Note* in the UNDP-GEF Programming Manual or workspace for details).
 - Review Process no. E.3 “*Issuance of Authorized Spending Limit, ASL*”.
- [5] in case of a multi-country project, ensure that the UNDP **Principal Project Representative (PPR)** shares a copy of the project document/IP signatures reflecting all the signatories.

■ end of process

E. 2. PROJECT IMPLEMENTATION

LAUNCH: FIRST MANDATORY MULTI-YEAR ANNUAL WORKPLAN (AWP)

GOAL

- Upon signature of the **project document**, issuance of a multi-year **Annual Work Plan (AWP)** based on the **Total Budget and Workplan** in the project document/**Inception Plan (IP)** to reflect a realistic and accurate timing of the activities and planned disbursements.

ASSUMPTIONS

- The project document/IP has been signed by all the parties.

- [1] liaise closely with the originating country office environment focal point on the status of the first multi –year AWP/**budget revision**, ensuring that a copy is sent to the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** for a 5-day non-objection review.
- [2] scrutinize the multi-year AWP ensuring that it conforms with the *Advisory Note on Atlas* (see **UNDP-GEF Programming Manual** at <http://intra.undp.org/gef/knowledgemgmt/resourcekits.htm> or Workspace, Operations Support, Finance section at <http://gef.undp.org/index.pl/finance>) and that the allocations are transparent and within the project financial envelope.
- [3] verify the accuracy of the sub-totals and totals manually.
- [4] consult the RTA/STA about your suggested substantive corrections and obtain his/her concurrence before informing the originating country office environment focal point .
- [5] post the signed multi-year AWP/budget revision in PIMS and inform the **Technical Team** Programme Associate (PA) and POS (Rattana Mao at rattana.mao@undp.org).

■ end of process

E. 3. PROJECT IMPLEMENTATION
INITIAL AUTHORIZATION OF SPENDING LIMIT, (ASL)

GOAL

- Issuance of initial ASL in **Atlas** as a pre-requisite to first disbursement following signature of the **project document/Inception Plan (IP)**.

ASSUMPTIONS

- The project document/IP was signed by all the parties.
- The multi-year **Annual Work Plan (AWP)** was generated in **Atlas** by the UNDP originating (**Lead**) **Country Office**.
- The **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** was asked to review the multi-year AWP on a 5-day non-objection basis.

The project activities cannot start if the ASL has not been issued and the budgets sent to *Commitments Control (KK)* in Atlas!

- [1] critically review the multi-year AWP, ensuring that the budget is in line with the project document budget and activities. Refer to the Resource Kit “*Authorized Spending Limit (ASL)*” and to the *Atlas Advisory Note* on UNDP-GEF Intranet, Knowledge Management or workspace as relevant at <http://intra.undp.org/gef/knowledgemgmt/resourcekits.htm> .
- [2] inform the RTA/STA of the substantive corrections needed on the AWP and obtain his/her concurrence before requesting the originating country office to correct in Atlas.
- [3] follow-up closely on response from UNDP-GEF Finance Officer confirming clearance of ASL in Atlas.
- [4] once you have received confirmation of ASL allocation in Atlas, inform the originating country office promptly. **Tip:** you may want to use the ‘*return receipt*’ option so as to be sure that your email transmitting the ASL information has been delivered. Keep your return receipt confirmations until you are sure that the ASL has been received!

IMPORTANT

- The project activities cannot start without the ASL being issued in Atlas. Your role is thus essential in facilitating project start-up!

■ end of process

E. 4. PROJECT IMPLEMENTATION

LAUNCH - RECRUITMENT OF THE PROJECT PERSONNEL

GOAL

- Recruitment of the project personnel as a prerequisite for the delivery of the activities.

ASSUMPTIONS

- The **project document/Inception Plan (IP)** has been signed by all the parties.
- The initial **Authorization of Spending Limit (ASL)** was cleared in **Atlas**.

- [1] read the project document/IP to get acquainted with the project staffing arrangements, organigramme, **Terms of Reference (TOR)** etc...
- [2] follow-up with the originating country office environment focal point on the status of the recruitments.
- [3] as relevant, keep a record of the name and contact numbers of the project **Chief Technical Advisor (CTA)** and/or project Manager as well as of other project staff if possible.
- [4] provide guidance to the project CTA/project Manger - and other project staff as necessary - on the GEF, UNDP-GEF and UNDP processes and requirements especially with regard to financial matters, monitoring & evaluation, milestones dates etc... pointing to the relevant source of information (reference material, websites, colleagues etc...).

IMPORTANT

Since the project activities cannot be carried out without personnel, your active engagement is essential to ensure that the project staff is on board as soon as possible!

■ end of process

E. 5. PROJECT IMPLEMENTATION
DELIVERY - MONITORING VIA ANNUAL WORKPLAN (AWP)/BUDGET REVISION

GOAL

- Review, record and disseminate as relevant all the project mandatory and ad-hoc **Annual Workplan (AWP)/budget revisions**

ASSUMPTIONS

- You have established a system to keep track of the AWP/budget revisions.

- [1] liaise closely with the originating **country office environment focal point** on the status of the mandatory and **ad-hoc AWP/budget revisions**, ensuring that a copy is sent to the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** for review on a 5-day non-objection basis.
- [2] verify the sub-totals and totals manually.
- [3] as relevant, you may want to do a brief analysis of the **delivery rate** by calculating (1) the percentage of the actual disbursements to-date vs. the project total and (2) the percentage of the actual yearly disbursements vs. the planned yearly budget, attaching your calculations and comments to the AWP/budget revision for review by the RTA/STA .
- [4] scrutinize the AWP/budget revisions, ensuring that the redeployment of allocations by activities:
 - is transparent;
 - is within the project financial envelope;
 - is in accordance with the last version of the AWP;
 - reflects the recommendations of the **mid-term review** or **terminal evaluation** as relevant.
- [5] ensure that the budget does not reflect an **over-expenditure**.
- [6] ensure that each budget revision – including your comments on the delivery rate – is reviewed by the RTA/STA.
- [6] consult the RTA/STA about your suggested substantive corrections and obtain his/her concurrence before informing the originating country office environment focal point.
- [7] post the final signed AWP/budget revision in PIMS and inform the **Technical Team PA** and **POS** (Rattana Mao at rattana.mao@undp.org).
 ■ **end of process**

Don't forget!
 Absolutely **NO over-expenditure** and **NO carry-over from one project to another** are allowed for UNDP-GEF

E. 6. PROJECT IMPLEMENTATION OVERSIGHT
PROJECT IMPLEMENTATION REVIEW (PIR)/ANNUAL PROJECT REPORT (APR)

GOAL

- Finalization of an annual **Project Implementation Review (PIR)/Annual Project Report (APR)** by the **country office environment focal point/executing agency** for each eligible project.
- Clearance of PIR/APR report by the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** prior to posting in **PIMS**.

ASSUMPTIONS

- You are familiar with the UNDP-GEF PIR guidelines, requirements and deadlines on **Teamworks** at <https://sites.google.com/site/2011undpgefaprir/> .
- You are familiar with the UNDP Monitoring & Evaluation (**M&E**) rules and procedures.
- Your team has agreed upon an internal calendar for the submission of the PIR/APR reports by the country office/executing agency for RTA/STA and PTA review/clearance.



- [1] in light of the UNDP-GEF PIR guidelines, review initial list of projects prepared by **Results and Knowledge Specialist, (RKS)**. Clarify/correct list with RTA/STA as needed.
- [2] liaise with RKS until a final list is agreed upon and a final version posted on Teamworks.
- [3] inform the country office environment focal points/executing agencies of the launch of the PIR exercise, directing them to the UNDP-GEF PIR window on Teamworks, emphasizing the availability of all the necessary information e.g. list of projects, guidelines, deadlines etc... Get well acquainted with this information in case you need to provide guidance to your country office/executing agency counterpart.
- [4] review the PIR/APR reports as they become available, ensuring that all the required sections have been duly completed and verifying the accuracy of the basic information, e.g. title, **focal area**, **PIMS/Atlas** numbers, financing etc... prior to requesting clearance by the RTA/STA.
- [5] when each PIR/APR report has been cleared by the RTA/STA, post final version in PIMS and inform the RKS copying the **Technical Team Principal Technical Advisor (PTA)** and the Technical Team Programme Associate (**PA**).

**E. 6. PROJECT IMPLEMENTATION
OVERSIGHT
PROJECT IMPLEMENTATION REVIEW (PIR)/ANNUAL PROJECT REPORT (APR)**

- [6] follow-up and take action as relevant on the comments received from the RKS and Technical Team.
- [7] ensure that all the mid-term review and terminal evaluation reports completed in the PIR reporting period are posted in PIMS. Review Processes no. E.7 and E.8 as needed.
- [8] share the final PIR/APR report with the contributors as relevant, giving non committal information.

■ end of process

**E. 7. PROJECT IMPLEMENTATION
OVERSIGHT - MID-TERM REVIEW (MTR)**

GOAL

- Assessment of the progress of the project implementation at mid-point of the project life by a team of independent consultants.
- Issuance of a **mid-term review (MTR)** report capturing the details and recommendations of the evaluation and transmittal of report to the GEF Secretariat (**GEFSEC**) by UNDP-GEF Directorate.

IMPORTANT!
All final reports
must be in
English!!!

ASSUMPTIONS

- A date has been agreed upon by all the parties involved.
- The team composition has been agreed upon by all the parties involved.

- [1] review the **Terms of Reference (TOR)** and final team composition, ensuring that the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** has no objection.
- [2] obtain the full names, titles and contact numbers of the evaluation team consultants and keep on file.
- [3] as soon as the team composition is final, ensure that the evaluation members receive adequate background documentation from the originating country office, e.g. signed **project document, Project Implementation Review (PIR)** report(s)/**Annual Project Report(s)/(APR)**, sample reports and other document which can be helpful in their understanding of the project.
- [4] liaise with the originating country office with regard to MTR schedule, itinerary and other logistics as relevant.
- [5] upon completion of the MTR report, follow-up closely with the originating country office and team on the finalization of the draft report, providing guidance as relevant.
- [6] when the final report has received all the clearances, post it in PIMS and inform UNDP-GEF Directorate and the **Technical Team Programme Associate (PA)** for further processing.
- [7] complete the PIMS milestone “*Mid-term evaluation*”.

E. 7. PROJECT IMPLEMENTATION
OVERSIGHT - MID-TERM REVIEW (MTR)

- [8] read the final MTR report, paying particular attention to the final recommendations and following-up on any required budget or workplan revision.
- [9] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise.

■ end of process

**E. 8. PROJECT IMPLEMENTATION
OVERSIGHT - TERMINAL EVALUATION (TE)**



GOAL

- Assessment of the overall project by a team of independent consultants within 6 months of its operational completion.
- Issuance of a **terminal evaluation** report capturing the details and recommendations of the review and transmittal of report to UNDP-GEF Directorate.

ASSUMPTIONS

- A date has been agreed upon by all the parties involved.
- The team composition has been agreed upon by all the parties involved.

- [1] review the **Terms of Reference (TOR)** and final team composition, ensuring that the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** has no objection.
- [2] obtain the full names, titles and contact numbers of the evaluation team consultants and keep on file.
- [3] as soon as the team composition is final, ensure that the evaluation members receive adequate background documentation from the originating country office, e.g. signed **project document, Project Implementation Review (PIR)** reports, **Mid-Term Review** report, sample reports and other document which can be helpful in their understanding of the project.
- [4] liaise with the originating country office with regard to TE schedule, itinerary and other logistics as relevant.
- [5] upon completion of the terminal evaluation, follow-up closely with the originating country office and team on the finalization of the draft report, providing guidance as relevant.
- [6] when the final report has received all the clearances, post it in PIMS and inform UNDP-GEF Directorate and the **Technical Team** Programme Associate (**PA**) for further processing.
- [7] complete the PIMS milestone “*Final evaluation*”.

E. 8. PROJECT IMPLEMENTATION
OVERSIGHT - TERMINAL EVALUATION (TE)

- [8] read the final report, paying particular attention to the recommendations and following-up on any necessary action, e.g. **extension** of the project **at no cost** or other.
- [9] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise.

■ end of process

**E. 9. PROJECT IMPLEMENTATION
OVERSIGHT - MAJOR PROJECT AMENDMENTS**

GOAL:

- Decision by GEF CEO on a request for major amendments to an existing approved GEF project according to the guidelines in the GEF Project and Programmatic Approach Cycles at <http://www.thegef.org/gef/guidelines> .

DEFINITION:

- A major amendment is defined as “... changes to project outputs that have a high probability of leading to significant changes in project outcomes, such as restructuring that involves a major amendment in the scope or design of the project, a change in the project’s objectives or any other change that substantially alters the project concept.”

- [1] ensure that the projects in need of major amendments are brought to your attention as soon as possible so as to enable you to take appropriate action in a timely manner.
- [2] prepare and process the *Agency Notification* form using the Agency Notification templates available in UNDP-GEF Programming Manual at <http://intra.undp.org/gef/programmingmanual/templates.htm> .
- [3] post the form and all the relevant documentation in **PIMS**.
- [4] inform the **Technical Team** that the documentation is posted in PIMS for review/clearance by **Principal Technical Advisor (PTA)** and transmittal to GEFSEC via **UNDP-GEF Registry**.
- [9] follow-up with the Technical Team until a formal decision is received from GEF CEO via letter to UNDP-GEF Executive Coordinator.
- [10] take action on amendments needed, consulting originating country office counterpart and **UNDP Programme and Operations Policies and Procedures (POPP)**. In some cases, budget revisions or rewriting/signature of the project document will be needed etc...
- [11] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise

TIP: a good example of a major amendment reporting can be found in PIMS no. 520.

■ end of process

E. 10. PROJECT IMPLEMENTATION
OVERSIGHT – MINOR PROJECT AMENDMENTS

GOAL:

- Reporting of minor amendments to an existing approved GEF project according to the guidelines in the GEF Project and Programmatic Approach Cycles at <http://www.thegef.org/gef/guidelines>.

DEFINITION:

- A major amendment is defined as “... *amendments to the project design or implementation that include renaming of the executing entities, revising the agreed reporting schedules or formats, changing the specification of project outputs that do not have significant impact on the project objectives or scope, changing the implementation plan, grant closing date, grant amount, specific implementation targets or dates, or reallocating the grant proceeds that do not affect the project’s scope.*”

The reporting of minor amendments is part of the yearly **Project Implementation Review (PIR)/Annual Project Report (APR)** exercises.

The only action needed from your side is to adjust the new information in **PIMS**.

■ end of process

**E. 11 PROJECT IMPLEMENTATION
OVERSIGHT – CANCELLATION/TERMINATION OF PROJECTS**

Note: this process applies to project processed under the “old” and the “new” Project Cycle”. Use/adapt current guideline pending update.

GOAL:

- Reporting to the GEF Secretariat (**GEFSEC**) of project ideas which will not be developed further following the approval of a **PIF**. See **UNDP-GEF Programming Manual** for details at <http://intra.undp.org/gef/programmingmanual/index.htm>).
- Reporting to GEFSEC of the cancellation of approved GEF projects as outlined in the UNDP-GEF Programming Manual. **Note:** this may include **Project Development Funds (PDF)** funds pertaining to the GEF Project Cycle prior to 1 July 2007. See UNDP-GEF Programming Manual for details).

3 Types of procedures:

- *Cancellation prior to Council approval or CEO Endorsement/Approval.*
- *Cancellation after Council approval or CEO Endorsement/Approval.*
- *Termination/Suspension during implementation.*

- [1] ensure that all the projects to be cancelled/terminated projects are brought to your attention as soon as possible so as to enable you to take the appropriate action in a timely manner.
- [2] prepare and process cancellation form in accordance with the GEF guidelines and template in <http://www.thegef.org/gef/guidelines>.
- [3] post the reporting form and all the relevant documentation in **PIMS**.
- [4] inform the **Technical Team** with copy to the Finance Officer that the documentation is posted in PIMS for review/clearance by **Principal Technical Advisor (PTA)**, signature by Finance Officer and Deputy Executive Coordinator and transmittal to GEFSEC via **UNDP-GEF Registry**.
- [5] follow-up on cancellation/termination ensuring that cancelled/terminated projects is no longer included in the reports listed **UNDP-GEF Programming Manual**.
- [6] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise.

■ end of process

E. 12. PROJECT IMPLEMENTATION

OPERATIONAL CLOSURE

GOAL

- Closure of the project operations following the completion of all the activities outlined in the **project document** and key evaluation reports
- Issuance of the project **semi-final AWP/budget revision**

ASSUMPTION

- The operational closure has been agreed upon by all the parties

- [1] liaise closely with the originating **country office environment focal point** on the status of the semi-final AWP/Budget revision, ensuring that a copy is sent to the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** for review.
- [2] obtain from the originating country office environmental focal point the status of the project outstanding payments, ensuring that the project will not be overspent.
- [3] verify the sub-totals and totals manually.
- [4] post the final signed AWP/budget revision in PIMS and inform the **Technical Team** Programme Associate (PA) and POS (Rattana Mao at rattana.mao@undp.org).
- [5] complete the **PIMS** milestone “*Project operationally completed*”.
- [6] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise.

■ end of process

E. 13. PROJECT IMPLEMENTATION

FINANCIAL CLOSURE

GOAL

- **Liquidation** of all the outstanding payments following the project operational closure.
- Issuance of the project final **AWP/budget revision**.

ASSUMPTION

- The project has been operationally closed and the **semi-final AWP/budget revision** has been issued.

- [1] liaise closely with the originating **country office environment focal point** on the status of the final **AWPs/budget revisions**, ensuring that a copy is sent to the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** for review.
- [3] verify the accuracy of the sub-totals and totals.
- [4] post the final signed **Combined Delivery Reports (CDRs)** in **PIMS** and inform the **Technical Team Programme Associate (PA)** and **POS** (Rattana Mao at rattana.mao@undp.org).
- [5] in case there is an unspent balance of any amount, inform the RTA/STA and POS (Rattana.Mao at rattana.mao@undp.org) as the unspent funds will have to be returned to GEFSEC by the Finance Officer.
- [6] complete the PIMS milestone “*Date of financial closure*”.
- [7] ensure that **Enhanced Results Based Management System (ERBM)** is duly updated, liaising with the originating country office counterpart if issues arise.

■ end of process

F. PROJECT INFORMATION MANAGEMENT SYSTEM (PIMS)**IMPORTANT!**

- Your proficiency with the UNDP-GEF **Project Information Management System (PIMS)** is essential to the good performance of your duties.

- [1] ensure that you have the proper PIMS rights, allowing you to read globally, edit and lock the entries specific to your **portfolio**. **Note:** Programme Assistant/Associate (**PA**) rights are “*Regional Coordinator*” rights. In case of problem, send an email to the PIMS Administrator at headquarters (veronique.whalen@undp.org).
- [2] read the PIMS Manual carefully (on workspace, *Information Management* window). Although quite outdated, the Manual is still a useful tool.
- [3] lock your entries so that nobody else but you can edit them. This will make your data safe and permanent.
- [4] remember not to use any accent or symbol in the file names as PIMS cannot read them.
- [5] file only the key documents, ensuring that the *Attachments* are clearly labeled and that this section is kept “lean and clean”. **Note:** do not use symbols or accents in the files names as PIMS cannot read them and thus cannot open the files.
- [6] convert the important emails in *pdf* format and post them in the *Attachments* section rather than pasting them in the *Diary* section.
- [7] request deletion of a full PIMS entry or leaf via email to the PIMS Administrator (veronique.whalen@undp.org). **Tip:** before marking a full entry or project entry for deletion, ensure that the corresponding files have been saved separately as needed and insert “*To be deleted*” in the full-title box of the leaf to be deleted for ease of reference.
- [8] do not rely fully on the PIMS reports to analyze data. However, extracting data via the *Search* or *Reports* screen can be very helpful in a variety of exercises including cross-checking when using other reporting sources.

F. PROJECT INFORMATION MANAGEMENT SYSTEM (PIMS)

IMPORTANT!

While PIMS-3 is under development, it is important to continue data entry into PIMS-2. In view of the gap between PIMS-2 structure/terminology and the current GEF Project Cycle, please refer to information below on how to “translate” the former into the latter.

PAST		PRESENT
CONCEPT/IDEA	=	PIF (all project types)
➤ First Accepted in GEFSEC Pipeline	=	CEO clearance of PIF for FP. CEO PIF approval for other types.
PDF A		No longer in use.
PDF C		No longer in use.
PDF B	=	PPG (insert PPG in front of title)
➤ Approved by CEO	=	PPG approval date by CEO
FULL	=	FULL-SIZE PROJECT
➤ Approved by Council	=	PIF approval date by GEF Council
MEDIUM < 750	=	MEDIUM-SIZE PROJECT
➤ Approved by CEO	=	Approval date of Request for CEO Approval
ENABLING	=	ENABLING ACTIVITIES PROJECT
➤ Approved by CEO	=	Approval date of Request for CEO Approval

■ end of process

G. REPORTING ON PORTFOLIO STATUS

FACTS

- UNDP-GEF requires a quarterly update of all active projects in **Atlas** via direct input by the UNDP Country Offices in UNDP **Enhanced Results Based Management System (ERBM)**.
- GEF requires a semi-annual **Operational Report of GEF Projects (ORGP)** of all active projects. The latter is extracted from ERBM. **Note:** although the practice has been unofficially discontinued, it might resume at any time!

- [1] read the UNDP-GEF monitoring guidelines posted http://intra.undp.org/gef/programmingmanual/me_intro.htm.
- [2] liaise with your originating country office counterpart to ensure that the **Country Office Environment Focal Point** enters the information in UNDP EBRM in a timely fashion.
- [3] when action is completed, read EBRM entries and alert the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** if you find errors or have concerns about wording, data etc...
- [4] as relevant and if prompted to do so by UNDP-GEF Directorate, download ORGP project from **ERBM**, following specific instructions received.
 - end of process

H. 1. PORTFOLIO MANAGEMENT

GETTING ACQUAINTED WITH YOUR PORTFOLIO

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team's workflow and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention

- [1] do a 'Search' in PIMS by 'Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)' typing the last name in the relevant box (only one search per RTA/STA).
- [2] cross-check by searching by region and then by **focal area** (only one search at a time).
- [3] do as wide a search as possible so that all the project types at all stages are returned including closed and **discontinued** projects. It is easier to disregard irrelevant projects than searching for missing ones.
- [4] look carefully at the information returned, paying attention to the project status and getting used to the PIMS search screen, terminology etc...
- [5] in addition to the above, or as a short-cut, consult the list of **pipeline**/portfolio monitoring tools on UNDP-GEF Intranet at <http://intra.undp.org/gef/programmingmanual/reports.htm> , reading the description carefully so as to determine which report is most relevant. Report no. 5 is usually very helpful as it encompasses the entire portfolio.

■ end of process

H. 2. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING UNDP PIPELINE ENTRY

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team's workflow and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects pending UNDP **pipeline** entry.

- [1] ask the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** if your Unit has a system to track the UNDP Pipeline and, if so, review it carefully and get acquainted with it.
- [2] if a tracking system already exists, cross-check with **PIMS** and if none exists, discuss with RTA/STA about implementing one (spreadsheet or other).
- [3] do a 'Search' in PIMS of all the pending ideas for the RTA/STA you are working with, typing the last name in the relevant box (only one search per RTA/STA).
- [4] cross-check, searching by region and then **focal area** (only one search at a time).
- [5] all the entries at the **Concept/Idea** stage only are likely to be ideas pending further processing. Take a look at the information and attachments.
- [6] discuss with the RTA/STA to find out what is viable, what is not etc... It is possible that a good clean up and PIMS update are needed!
- [7] if not already done, you may need to develop a spreadsheet or other system to keep track of the ideas. Discuss with the RTA/STA.
- [8] once you are clear about the project ideas which need to enter the UNDP-GEF pipeline, refer to Guidebook, Process no D. 2 and take action as relevant.
 - end of process

H. 3. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING WORK PROGRAMME ENTRY

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team’s workflows and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects pending GEFSEC **Work Programme** (FP /MSP, EA).

- [1] find Report no. 5 “*Pipeline & Mobilization*” in the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, Pipeline/Portfolio Monitoring*” at <http://intra.undp.org/gef/submissions/index.htm> .
- [2] find “internal” data, categories “*PIFs cleared only*” and “*Upcoming work programme*” as the entries in these categories are either Work Programme candidates or included in the next one.
- [3] cross-check with your Unit’s data as relevant.
- [4] find out the timing of the next (**Intersessional**) **Work Programme** exercise in the **GEF Programme Management** bulletin available on the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, GEF Programme Management Bulletins*” at <http://intra.undp.org/gef/submissions/index.htm> .
- [5] confirm submission list with the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)**.
- [6] refer to the following processes in the Guidebook and take action as relevant. See Process D.3 “*Approval of Project Information Form (PIF by Council/CEO)*”;

■ end of process

H. 4. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING CEO ENDORSEMENT/APPROVAL

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team’s workflows and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects pending **CEO endorsement/approval** (respectively FP and MSP/EA).

- [1] find Report no. 4 “*Pending Endorsement/Approval*” in the **UNDP-GEF Programming Manual**, at <http://intra.undp.org/gef/submissions/index.htm> .
- [2] cross-check with your Unit’s data as relevant.
- [3] verify whether a **Request for Milestone Extension** was processed, what the decision/new anticipated endorsement/approval date is or determine whether one should be processed.
- [4] if a Request for Milestone Extension needs to be processed, refer to H.8 “*Monitoring the Service Standards*”.
- [5] follow-up with your originating country office counterpart on the status of the project document finalization, alerting the **Regional Technical Advisor (RTA)/ Senior Technical Advisor (STA)** if you suspect problems or delays.

■ end of process

H. 5. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING PROJECT DOCUMENT COMPLETION

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team’s workflows and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects pending project document completion (all types).

- [1] find Report no. 5 “*Pipeline & Mobilization*” in the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, Pipeline/Portfolio Monitoring*” at <http://intra.undp.org/gef/submissions/index.htm> .
- [2] find “internal” data, categories “*PIFs approved*” as these were approved by the **GEF Council** and are pending **CEO Endorsement/Approval** of the project document.
- [3] cross-check with your Unit’s data as relevant.
- [4] follow-up on the status of the project document with its author, bearing in mind the CEO milestone date of *Anticipated Endorsement/Approval*. Review Portfolio Monitoring, section H.8 “*Monitoring the Service Standards*”.
- [5] consult the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** if you feel that a **Request for Milestone Extension** is needed and process same as relevant.

■ end of process

H. 6. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING DELEGATION OF AUTHORITY (DOA)

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team’s workflows and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects documents pending **Delegation of Authority (DOA)** letter.

- [1] find Report no. 5 “*Pipeline & Mobilization*” in the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, Pipeline/Portfolio Monitoring*” at <http://intra.undp.org/gef/submissions/index.htm> .
- [2] filter the raw internal data for “*Decision Date*” and status “*Endorsed/Approved prior GEF-4*” as well as “*Endorsed/Approved in GEF-4 and GEF-5*” to extract all the projects which were formally endorsed/approved by **GEFSEC CEO**.
- [2] verify from **Atlas** Report no. 7 and **PIMS** which projects are missing a DOA letter and **project document** signature date, following up with **Technical Team Programme Associate (PA)** and/or originating country office as relevant.
- [3] review Process D.7 “*Delegation of Authority*” and process pending DOA as needed.

■ end of process

H. 7. PORTFOLIO MANAGEMENT

FIND THE PROJECTS PENDING PROJECT DOCUMENT SIGNATURE

GOAL:

- Once you are familiar with the tasks involved within each process, you need to integrate your team’s workflows and assume your role as quickly and efficiently as possible.

IMPORTANT:

- You need to acquaint yourself with your **portfolio** and with the actions requiring your immediate attention, i.e. projects documents pending signature.

- [1] find Report no. 5 “*Pipeline & Mobilization*” in the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, Pipeline/Portfolio Monitoring*” at <http://intra.undp.org/gef/submissions/index.htm> .
- [2] filter the raw internal data for “*Decision Date*” and status “*Endorsed/Approved prior GEF-4*” as well as “*Endorsed/Approved in GEF-4 and GEF-5*” to extract all the projects which were formally endorsed/approved by GEF CEO.
- [3] verify from **Atlas** Report no. 7 and **PIMS** which projects are missing **project document** signature date, following up the originating country office as relevant.
- [4] verify project document status with your originating country office counterpart and clarify delay, alerting the **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** as needed.
- [5] work closely with your originating country office counterpart until the project document is signed.

■ end of process

TIP: keep in a separate email folder your transmittal emails of DOA letters and project documents and use this folder as a check -list

H. 8. PROJECT IMPLEMENTATION
MONITORING THE SERVICE STANDARDS: CEO ENDORSEMENT/APPROVAL

GOAL:

- Ensure a timely submission to the **GEF Secretariat (GEFSEC)** of a **project document** in accordance with the anticipated **CEO Endorsement/Approval** date reflected on the **CEO PIF** clearance/approval letter, referring to the established **GEF Service Standards** in the UNDP-GEF Programming Manual at http://intra.undp.org/gef/programmingmanual/service_standards.htm for guidance. **Note:** in case there is no specific anticipated CEO Endorsement/Approval date, the default is 22/18/12 months after **PIF** clearance/approval depending on **Concept/PIF** approval date.
- If needed, process a **Request for Milestone Extension** to seek a revised date for **CEO Endorsement/Approval**.

- [1] verify your records with the anticipated milestone date in Report no. 4 “*Pending Endorsement/Approval*” in Programming Manual at <http://intra.undp.org/gef/programmingmanual/reports.htm> .
- [2] follow-up closely on milestone status keeping in mind that at least a 2-month notice is needed in case of an anticipated missed milestone as reflected in the **GEF Project and Programmatic Approach Cycles (November 2010)**.
- [3] in case of an anticipated missed CEO Endorsement/Approval, obtain new date from **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)** or originating **Country Office Environment Focal Point** or other as relevant.
- [4] when new date(s) obtained, complete template “*Request for Milestone Extension*” available from UNDP-GEF Intranet, Programming Manual, Templates section at <http://intra.undp.org/gef/programmingmanual/templates.htm> verifying accuracy of all the data against original approval documents.
- [5] post completed form in **PIMS** and inform **Technical Team** Programme Associate (**PA**) for further processing.
- [6] follow-up on CEO decision closely with Technical Team PA.
- [7] when CEO approval on new milestone date is received, inform the Country Office and other partners and adjust PIMS and other information as relevant.
- [8] verify that the new milestone date has been properly adjusted in the next version of Report no. 4 “*Pending Endorsement/Approval*” .
- [9] if request for new milestone date is not approved by CEO, liaise closely with RTA/STA for follow-up action.

■ end of process

H. 9. PROJECT IMPLEMENTATION

MONITORING THE SERVICE STANDARDS: UNDP-GEF 10-DAY RESPONSE TIME

GOAL:

- Ensure that the submission of revised documentation to the **GEF Secretariat (GEFSEC)** occurs no later than 10 workdays after receipt in UNDP-GEF Registry of GEFSEC decision in accordance with the established **GEF Service Standards** in the UNDP-GEF Programming Manual at http://intra.undp.org/gef/programmingmanual/service_standards.htm .
- If needed, inform Strategic Planning Associate (veronique.whalen@undp.org) of new resubmission date for transmittal to GEFSEC.

- [1] find Report “*Resubmissions*” in the **UNDP-GEF Programming Manual**, section “*Submissions for Funding, Pipeline/Portfolio Monitoring*” at <http://intra.undp.org/gef/submissions/index.htm> and review carefully.
- [2] in case of an anticipated missed resubmission date, obtain new date from **Regional Technical Advisor (RTA)/Senior Technical Advisor (STA)**.
- [3] inform Strategic Planning Associate (veronique.whalen@undp.org) of anticipated new resubmission date for transmittal to GEFSEC.

■ end of process

H. 10. PIPELINE & PORTFOLIO MANAGEMENT
WHAT TO DO AND WHEN

Action	ad hoc	daily	several times daily	weekly	bi-weekly	monthly	bi-monthly	quarterly	semi-annually	annually	upon decision by GEF CEO or GEF Council	upon signature of project document	within 3 months of project mid-point	within 3 months of project operational closure	within 3 months of project financial closure	when in doubt	never!
	1 Ask for information																X
2 Consult Pipeline/Portfolio monitoring reports on Intranet	X			X													
3 Consult UNDP-GEF workspace		X															
4 Initiate consultant recruitment/contract extensions	X																
5 Keep in touch with the proponent	X										X						
6 Keep track of programming information updates	X																
7 Maintain list of country office environment focal points	X							X									
8 Maintain list/contacts/contract details of retainer consultants	X							X									
9 Maintain lists/contacts of project personnel	X				X												
10 Meet with Regional Coordinator(s) and team				X													
11 Monitor Service Standards		X															
12 Monitor Pipeline		X															
13 Monitor Portfolio		X															
14 Perform tasks pertaining to fund approval processes	X	X															
15 Prepare for terminal evaluation														X			
16 Prepare for mid-term review													X				
17 Prepare for PIR exercise									X								
18 Read BDP and EEG Intranet sections	X					X											
19 Read emails from UNDP-GEF Registry			X														
20 Read GEF Council documents	X							X									
21 Read GEF website	X				X												
22 Read GEF weekly Program Management Bulletin				X													
23 Read UNDP Programming Manual	X																X
24 Read UNDP-GEF Programming Manual	X																X
25 Read UNDP-GEF website	X																
26 Share new/updated UNDP-GEF information with country offices and consultants	X																
27 Store Programming Manual information for future use																	X
28 Store templates for future use																	X
29 Track budget revisions and Annual Work Plans (AWPs) in Atlas	X								X								
30 Track final budget revision in Atlas															X		
31 Track multi-year Annual Work Plan (AWP) in Atlas											X						
32 Track semi-final budget revision in Atlas													X				
33 Update Atlas/verify Atlas information	X	X															
34 Update PIMS	X	X															

I. USEFUL LINKS

Name	Topic	Location
BDP website	BDP	http://content.undp.org/go/bdp/intra/
EEG website	EEG	http://practices.undp.org/energy-environment/
GEF website	GEF	http://www.thegef.org/gef/
Human Resources	Benefits & Entitlements	http://intra.undp.org/bom/maintopics/divisions/ohrmain.html ; http://sas.undp.org/
Financial Manual	Financial Rules & Regulations	http://gef.undp.org/index.pl/finance
Enhanced Results Based Management (ERBM)	Monitoring & Evaluation	http://home.undp.org
UNDP Teamworks	Information on UNDP	http://intra.undp.org
UNDP Programme and Operations Policies and Procedures (POPP)	UNDP Programming Cycle	http://content.undp.org/go/userguide/
UNDP-GEF Intranet	UNDP-GEF Programming Manual	http://intra.undp.org/gef
UNDP-GEF workspace	Everything of importance to the Teams	http://gef.undp.org/ or http://eeg.undp.org

I: USEFUL LINKS

J. GLOSSARY

A

Ad-hoc budget revision: budget revision issued as and when needed in response to specific project operations.

Annual Project Report (APR): annual progress report required for all UNDP projects. Merged with Project Implementation Review (PIR) exercise for UNDP-GEF projects.

Annual Workplan (AWP): ensemble of planned activities and associated costs for a specific fiscal year. The AWP is generated by Atlas based on the *Total Budget and Workplan*.

Approval modality: steps governing grant approval depending on established criteria.

Atlas: internet-based corporate management system.

Atlas Advisory Note: GEF-specific guidance note on the use of Atlas.

Atlas Award number: project document number in Atlas.

Atlas Business Unit code: code of UNDP Unit/Division as reflected in Atlas.

Atlas Proposal number: proposal number generated by Atlas.

Atlas Project number: Award number generated by Atlas.

Authorization of Spending Limit (ASL): ceiling amount of committed resource funds issued by UNDP GEF POS for the implementation of GEF projects. Functions in parallel with the project's annual commitment budgets (also shown on Atlas Annual Work Plan).

B

Budget revision: amended AWP reflecting the changes resulting from a redeployment of activities and associated costs.

C

Cash: applies for financing or co-financing contributions in hard currency (usually US\$).

CEO endorsement/approval: verification by GEF CEO that the UNDP final project document (1) is fully in line with the PIF approved by Council or CEO (2) adequately addresses the comments made on the project by Council members at the time of work programme entry and (3) includes the letters of financial commitment as well as the tracking tools. Endorsement refers to FP and approval to MSP and EA.

CEO Endorsement Request Preparation Guidelines: guidance on completion of Request for CEO Endorsement. Prepared by GEF Secretariat and available from GEF website and/or UNDP-GEF Programming Manual.

Child: see sub-project.

Chief Technical Advisor (CTA): person in charge of the implementation of a project.

Co-financing: non GEF-funded resources contributing to a GEF-funded project and originating from a third party (e.g. NGO, Government, Private Sector etc...).

Colour coding: colour highlight of all the changes or corrections made on a previous version of the same document.

Concept: document user prior to GEF-4 to obtain the GEF CEO approval into the GEF pipeline.

J. GLOSSARY

C (*continued*)

Combined Delivery Report (CDR): report reflecting the total expenditures and actual obligations (recorded in Atlas) of a project during a period (quarterly and at the end of each year); combines the expenditures from three disbursement sources: **Implementing Agency**, UNDP, and UN Agencies.

Convention: set of rules and obligations agreed upon between a government and the GEF.

Concept: document used prior to GEF-4 to obtain the GEF CEO approval for the entry of a full-size project into the GEF pipeline.

Concept/PDF B: document used to obtain the GEF CEO approval for the entry of a full-size project into the GEF pipeline concurrently with the approval of a PDF B project. GEF Concept/PDF B documents follow specific requirements with regard to content and format.

Country Office Environment Focal Point: UNDP Programme Officer in charge of the UNDP-GEF Portfolio in a UNDP country office.

Country Office Information (CFO): UNDP Intranet page capturing the general and complete information on each UNDP country office.

Council Annexes: list of all the GEF approvals for all project types for a specific Council period. Council Annexes are posted on the GEF website at <http://intra.undp.org/gef>.

Council comments: comments made by an appointed Council member on a project included in a work programme or circulated on the GEF website prior to CEO formal endorsement or approval.

D

Delegation of Authority (DOA) letter: letter from UNDP-GEF Executive Coordinator to a UNDP Resident Representative (RR) or Principal project representative (PPR) and/or Head of Executing Agency formally transferring the implementation of a GEF-funded project to UNDP.

Delivery Rate: one of the tools to measure project implementation. The delivery rate is usually the ratio of the actual expenditures vs. the anticipated expenditures for various time periods (e.g. a fiscal or calendar year; the entire duration of the project etc...).

Discontinued: cancelled; not moved forward.

E

Enabling Activities: prepare the foundation to design and implement effective measures to respond to the countries' specific needs in the context of the Conventions.

Endorsement: [*of a project by GEF CEO*] See CEO Endorsement.

Endorsement letter: letter from government Operational Focal Point (OFP) confirming support for a specific project.

Enhanced Results Based Management System (ERBM): on-line, internal UNDP system for planning, monitoring and reporting for all UNDP offices. ERBM is accessed at <http://home.undp.org>.

Environment project: a project characterized by its positive impact on the environment.

J. GLOSSARY

E (*continued*)

Executing Agency: [*of a project*] agency in charge of translating a project document into activities on the ground.

Extension at no cost: the duration of the project activities is extended for a determined period of time without any increase of the GEF grant.

F

Final Budget Revision: mandatory budget revision issued upon financial closure of the project.

Financial commitment: see Co-financing.

Financial intent: see Co-financing.

Financial interest: see Co-financing.

Fiscal Year: period of activities for all financial transactions. The UNDP fiscal year runs from 1 January through 31 December and the GEF fiscal year runs from 1 July through 30 June.

Focal Area: a particular segment of the environment. The GEF recognizes 6 focal areas, i.e. Biodiversity, Climate Change, International Waters, Ozone Depletion, Persistent Organic Pollutents (POP) and Land Degradation.

Full Size project: project amounting to more than US\$1,000,000 covering any focal area.

G

GEF Council: governing body of the GEF consisting of representatives of donor and recipient countries.

GEF Executing Agency: original specialized organization allowed to access GEF funds and execute GEF-funded projects.

GEF Implementing Agency: institutions originally entrusted with the execution of GEF-funded projects.

GEF Operations Calendar: calendar of the GEF operations exercises (Work Programme and other) included in the GEF Program Management Bulletin.

GEF Operational Focal Point (OFP): government official with whom the GEF Secretariat and the GEF Implementing and Executing Agencies collaborate on GEF matters.

GEF Program Management bulletin: issued by the GEF Secretariat. Includes a chronological listing of all the operational movements i.e. submissions received by GEFSEC, actions taken by GEFSEC and other information as relevant. The weekly management bulletin is available on UNDP-GEF Intranet, *Submissions for Funding*.

GEF Project and Programmatic Approach Cycles (November 2010): set of guidelines pertaining to the GEF-5 Project Cycle. Available on GEF website and UNDP-GEF Programming Manual.

Global benefits: outcomes addressing the threats to the global environment and achieving global environmental benefits.

Government Endorsement Letter: see Endorsement Letter.

Government UNFCCC Focal Point: government official in charge of national communications.

J. GLOSSARY

I

Idea: an initial thought about a GEF-eligible environment project. A project idea can take many forms: initial draft outline, conversation between individuals, draft proposal etc...

Implementing Agency: organization or entity in charge of the realization of a project activities.

Inception Plan: equivalent of a project document for preparatory funds only (e.g. PPG).

Inception Workshop: meeting at which the project is officially launched and the final operational details reviewed (e.g. budget and workplan).

In-Kind: financing in nature as opposed to cash. Examples of in-kind contributions are: staff time, premises, vehicles etc...

Intersessional Work Programme: work programme taking place on line (via GEF website) in-between live work programmes.

L

Lead Country Office: UNDP Country Office designated by the stakeholders as leader of a regional or global project. Also named “*Host Country*”.

Letter of financial interest: see Co-financing.

Liquidation: payment of all outstanding financial commitments.

Local Project Appraisal Committee (LPAC): meeting of project stakeholders to review and agree on a final project document.

M

Mid Term Review (MTR): review and assessment of the project activities at mid-point of the project duration.

Minutes: summary of a meeting discussion and recommendations.

N

National Communication: type of Enabling Activities project which is approved directly by the UNDP-GEF Executive Coordinator under an “Umbrella” project.

O

Operational Focal Point (OFP): government representative in charge of all GEF matters.

Operational Report of GEF Projects (ORGP): GEF-specific semi-annual report of all active projects.

Over-expenditure: expenditure above and beyond the authorized budget limit.

J. GLOSSARY

P

Parent Project: see Umbrella project

Peer Reviewer: technical reviewer within the same area of expertise. Usually provides second technical feedback/clearance.

PIF Preparation Guidelines: guidance on PIF completion. Prepared by GEF Secretariat and available from GEF website and/or UNDP-GEF Programming Manual.

PIMS: the internet-based data base for the entire UNDP-GEF portfolio. PIMS can be accessed from anywhere in the world at <http://cfapp2.undp.org/gef/>.

Pipeline: projects under development.

Portfolio: all projects from initial development thru closure.

PPG Request: request for preparatory assistance funding.

PPG Request Preparation Guidelines: guidance on PPG completion. Prepared by GEF Secretariat and available from GEF website and/or UNDP-GEF Programming Manual.

Pre-PIF: refers to the phase preceding the entry of an idea in UNDP-GEF pipeline when a government Operational Focal Point (OFP) designates an agency for the development of a project via the GEF Secretariat database system.

Principal project representative (PPR): lead country UNDP Resident Representative of a multi-country project.

Principal Technical Advisor (PTA): leader of a Technical Team. Is accountable for the ultimate technical quality of a project and fit in the UNDP-GEF portfolio.

Programme: see Programme Framework.

Programmatic Approach: see Programme Framework.

Programme Framework: group of projects sharing the same overall objectives and sustained impact on the global environment.

Programme Framework Document (PFD): equivalent of the Project Information Form (PIF) and applicable specifically to Programme Frameworks.

Project Development Funds (PDF): see Project Preparation Grant (PPG).

Project Document: legal instrument that UNDP uses to define its assistance to a development project.

Project Implementation Review (PIR): GEF-required yearly review exercise of the activities of GEF-funded projects under implementation for at least one year.

Project Information Form (PIF): document used to submit an initial project idea to the GEF Secretariat (GEFSEC) for entry into a work programme/approval by GEF CEO.

Project Information Management System (PIMS): GEF-specific database.

Project Preparation Grant (PPG): optional project development funds used to develop a project idea (approved by Council/CEO in the form of a PIF) into a project document.

Project Type: project categorization based on size and/or type of activities. See UNDP-GEF Programming Manual for details.

Proponent: originator of a project idea. A proponent can be a government, an NGO, a private sector organization, an individual, a UNDP country office etc...

J. GLOSSARY

R

Regional Coordination Unit (RCU): GEF Team posted in a region..

Regional Technical Advisor: UNDP-GEF staff in charge of a specific regional portfolio in a Regional Coordination Unit (RCU).

Request for Assistance: letter from GEF Operational Focal Point (OFP) requesting assistance from a specific GEF agency for the development of a project.

Request for CEO Endorsement/Approval: document used to submit a request for project document endorsement to the GEF Secretariat (GEFSEC).

Request for Milestone Extension: document used to submit to the GEF Secretariat (GEFSEC) a request for CEO Endorsement/Approval extension.

Resident Representative (RR): person representing UNDP in a country receiving UNDP assistance.

Resource Kit on Authorization of Spending Limit (ASL): GEF-specific guidance on issuance of ASL. Also see Authorization of Spending Limit (ASL).

Results and Knowledge Specialist (RKS): person in charge of improving the efficiency and effectiveness of the overall results management of the global technical portfolio.

Retainer: contractual modality whereby a consultant is “booked” for a certain number of days over a certain period of time and used on an “ad-hoc” basis.

Review Criteria: series of standards by which the GEF-funded projects are evaluated.

Review Sheet: set of comments and recommendations made by a GEF Programme Manager upon his/her analysis of a submission for funding. GEFSEC Review Sheets follow a standard format.

S

Self-Assessment: preparatory funds for the exclusive use of a National Communication project.

Semi-final AWP/Budget Revision: mandatory budget revision issued upon operational completion of the project.

Senior Technical Advisor (STA): UNDP-GEF staff in charge of a specific technical portfolio in a Regional Coordination Unit (RCU).

Service Standards: set of milestones and deadlines outlined in the GEF Project Cycle.

Special Service Agreement (SSA): contractual modality whereby a consultant is hired against specific terms of reference and for a specific period of time.

Strategic Priority: major themes and approaches, under which GEF resources should be programmed within each of the focal areas.

Sub-project: project under an Umbrella or Parent project. Also referred to as “Child”.

Subsumed: included or merged into another project.

J. GLOSSARY

T

Teamworks: UNDP Intranet platform.

Technical Team: UNDP-GEF group focusing on a specific environment area, e.g. (1) Communities (2) Ecosystems & Biodiversity (3) Energy, Infrastructure, Transport, Technology (4) Green Low Emission Climate Resilient Development Strategies (5) Ozone and Chemicals and (6) Water & Oceans.

Terminal Evaluation (TE): review and assessment of the project activities 6 months before or upon project completion.

Terms of Reference (TOR): detailed description of the scope of work and outputs expected from a consultant.

Total Budget and Workplan: annex to a project document reflecting the anticipated outcomes, activities and associated costs for the entire duration of the project.

Tracking tools: report following GEF template used to monitor a project according to a result-based management approach.

U

Umbrella Project: Programme Framework project covering a number of individual sub-projects sharing the same overall objectives and sustained impact on the global environment. Also referred to as Parent Project.

UNDP-GEF Intranet: the home of UNDP-GEF can be accessed at <http://intra.undp.org/gef> . Its audience is the entire UNDP staff. The purpose of UNDP-GEF Intranet is to facilitate the work of UNDP staff managing GEF-funded projects.

UNDP-GEF Programming Manual: compilation of all the GEF-specific rules and procedures as well as programming requirements. It can be accessed via the UNDP-GEF Intranet site at <http://intra.undp.org/gef> .

UNDP-GEF Registry: headquarters-managed mailbox for the transmittal and receipt of all the official GEF-related correspondence. The UNDP-GEF email address is undpgef@undp.org .

UNDP Programme and Operations Policies and Procedures (POPP): compilation of the UNDP rules and procedures in all areas.

UNDP Resident Representative: head of a UNDP Country Office.

UNFCCC Focal Point: see Government UNFCCC Focal Point.

W

Work Programme: group of projects cleared by the GEF CEO and recommended for approval by the GEF Council.

Workspace: electronic platform for exclusive use by UNDP-GEF.

K. ACRONYMS

APR: Annual project report
ASL: Authorization of Spending Limit
BD: Biodiversity
CC: Climate Change
CDR: Combined Delivery Report
CEO: Chief Executive Officer
CFO: Country Office Information
CTA: Chief Technical Advisor
DOA: Delegation of Authority
EA: Enabling Activities (depending on context)
EA: Executing Agency (depending on context)
ERBM: Enhanced Results Based Management System
GEF: Global Environment Facility
GEFSEC: GEF Secretariat
IA: Implementing Agency
IP: Inception Plan
LPAC: Local Project Appraisal Committee
M&E: Monitoring & Evaluation
MTR: Mid-term review
NC: National Communication
NCSA: National Capacity Self Assessment
NEX: national execution
NGO: non-governmental organization
OE: Office of Evaluation
OFP: Operational Focal Point
ORGP: Operational Report of the GEF Projects
PA: Programme Assistant/Associate
PDF: Project Development Funds
PFD: Project Framework Document
PIF: Project Information Form
PIR: Project Implementation Review
PPR: Principal project representative
PIMS: Project Information Management System
POP: Persistent Organic Pollutants
POPP: Programme and Operations Policies and Procedures
POS: Project Operations Support
PPG: Project Preparation Grant
PTA: Principal Technical Advisor
RCU: Regional Coordination Unit

K. ACRONYMS

RKS: Results and Knowledge Specialist
RR: Resident Representative
RTA: Regional Technical Advisor
SP: Strategic Priority
SSA: Special Service Agreement
STA: Senior Technical Advisor
STAP: Scientific and Technical Advisory Panel
TA: Technical Advisor
TE: Terminal Evaluation
TOR: Terms of reference
UNDP: United Nations Development Programme
UNFCCC: United Nations Framework Convention for Climate Change
UNOPS: United Nations Office of Projects Services

Ω